

Housing Opportunities for Persons with AIDS (HOPWA) Program



Annual Progress Report (APR) User Guide

May 2006

REVISED

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Introduction

In this chapter:

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 - ♦ Who is Required to Submit an APR
 - ♦ How to Use this Guide
 - ♦ Purpose of APR Reporting
 - ♦ Effective Date and Goals of the APR Revisions
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Who Should Use This Guide

Administered by the U.S. Department of Housing and Urban Development (HUD), the Housing Opportunities for Persons with AIDS (HOPWA) Program is the only federal program dedicated to the housing needs of people living with HIV/AIDS and their families. Ten percent of available HOPWA funds are awarded as grants during a competitive selection of projects proposed by State, city, and local governments, or by nonprofit organizations. HOPWA competitive grantees are required to report program activities to HUD using the Annual Performance Report (APR), form HUD-40110-C, revised 1/2006.

This guide is primarily intended for HOPWA competitive grantees and their project sponsors. It was designed to help aggregate results from the use of HOPWA funding. The guide provides step-by-step guidance on how to fill out the revised APR, using illustrations to explain how and where data should be reported. The guide follows the format of the APR to introduce grantees to the new data requirements and layout of the form. Grantees may want to use the applicable parts of the APR to collect all the required information from their project sponsors. HOPWA formula grantees may use the APR to collect data from their project sponsors, consolidate the information and use this in completing their Consolidated Annual Performance and Evaluation Report (CAPER), form HUD-40110-D, revised 1/2006, and Integrated Disbursement & Information System (IDIS) reports. For this reason, HOPWA formula grantees will find this guide of use in operating their programs.

This User Guide may also be useful for:

- ♦ Nonprofit agencies considering applying for a HOPWA competitive grant who are seeking to understand the reporting requirements of the HOPWA program
- ♦ City and State governmental entities involved in the administration of the HOPWA program or other local programs that work collaboratively with the HOPWA program and therefore need to understand its reporting requirements
- ♦ HOPWA Technical Assistance providers using this guide as a training tool or reference
- ♦ Consultants working with HOPWA grantees or project sponsors on any aspect of program design, implementation, administration, or evaluation

While this guide focuses specifically on the APR, other guides and resources are available on HUD's web pages: <http://www.hud.gov/offices/cpd/aidshousing>

Who is Required to Submit an APR

The APR is used by competitively selected HOPWA grantees and must be completed and submitted to HUD within 90 days after the end of each operating year in which funds were expended. The operating year is established by each competitive grantee in their grant agreement with HUD. Formula grantees have the option of using an APR to track accomplishments of their project/sponsors and then consolidating the information for reporting through the CAPER.

Information on each competitive grant is to be reported in a separate APR. The APR must be used for any competitive grants that have been awarded. If a program operates with project sponsors or contracted service providers, the recipients may also use the APR for reporting to the grantee on their program activities as a sponsor. However, the grantee should consolidate sponsor and provider information in one report covering the grantee's operating year. The grantee's APR should be the only report filed directly with HUD.

Grantees must submit a completed APR to HUD within 90 days after the end of each operating year. The report must be submitted to:

- (1) The CPD Division Director in the local HUD field office that is responsible for managing the grant, and
- (2) An additional copy must be sent to the Office of HIV/AIDS Housing (Room 7212), U.S. Department of Housing and Urban Development, 451 7th Street, S.W., Washington, DC 20410.

After the local HUD Office has received and reviewed the APR, Logic Model and any additional evaluation report, the grantee may be contacted about the information presented and may be asked to submit additional or corrective information. The information may also be used in connection with HUD monitoring visits.

Grantees must complete all of Parts 1–3 for the specific activities undertaken in their project. Grantees approved for “Other” activities, as detailed in their grant agreement, are requested to adapt the APR to report on their unique program accomplishments.

Purpose of the APR

The AIDS Housing Opportunity Act requires that recipients of HOPWA grants report on the use of amounts received, including the number of individuals assisted, the types of assistance provided, and other information determined to be appropriate. The APR fulfills these statutory reporting requirements and provides the grantee and HUD with the necessary information to assess the overall performance and accomplishments of the grantee's program activities.

Annual performance reporting is an integral component of measuring and evaluating grantees' accomplishments. The APR is also designed as a management tool to assist local initiatives in evaluating program performance, including the performance of project sponsors and contracted service providers, in identifying recommendations for program improvements, and in setting future objectives for the community's efforts. The APR also provides communities with an opportunity to review how the area HOPWA program has helped participants obtain appropriate assistance that addresses the housing needs of low-income persons living with HIV/AIDS and their families.

In considering program successes, the APR may also be used to discuss how activities are carried out in conjunction with other resources in the community. These related efforts might include collaborations in the planning or design of housing assistance activities and in coordination with other programs to avoid duplication of efforts while ensuring an appropriate level of assistance for clients. The activities may also relate to the community's overall strategy for housing and community development and how those activities have been evaluated, including clients' satisfaction with services and performance. In addition, in describing performance, the grantees may report on the use of performance measures and benchmarks in program development and operation to demonstrate accomplishments or lessons learned in administering these grants.

Goals of the APR Revision

HUD and the Office of HIV/AIDS Housing recently revised the APR forms to integrate the APR with the e-grants initiative, reflect the data elements of the Homeless Management Information System (HMIS)—which can decrease reporting burdens if grantees make use of HMIS tools for HOPWA clients—and implement the recommendations of the Program Assessment Rating Tool (PART) that identified a need for the HOPWA program to better demonstrate program results and establish long-term performance measures that focus on outcomes with associated indicators. The revised format also informed the proposed CPD Performance Measures, and is being used to inform a redesign of the Integrated Disbursement and Information System (IDIS). The revisions to the APR forms and the consolidation of elements will improve the focus of the data to be collected on the HOPWA program, reduce burdens to applicants and recipients in accessing these federal resources, and help clarify program components. It is hoped these changes will result in more accurate information and program accountability. The APR emphasizes grantee performance and client outcomes, and fulfills statutory reporting requirements, while providing HUD with the information necessary to assess the overall performance and accomplishments of grantee activities.

The information gathered will also allow HUD and the Office of HIV/AIDS Housing to use the aggregate national performance accomplishment data and report to Congress more accurately on HOPWA's program accomplishments, allowing for greater public accountability in the use of these federal funds.

Effective Date of the Revised APR

HOPWA grant recipients that will begin a new program year on or after April 1, 2006, are required to collect data under the new report format and report on all of the elements used in these forms. Grantees with program years beginning between October 1, 2005 and March 31, 2006 should also use these revised forms to report on their project activities, although some of the new data elements may not be completely available until the next grant cycle. All other grantees are also strongly encouraged to complete the new forms, wherever possible. Almost all of the prior data elements on program use in expending funds for housing activities and characteristics of beneficiaries are being continued. By using the new forms, these grantees will meet the reporting requirements for 2005 and test the new format, as required for 2006 reports.

HOPWA competitive grantees with grant agreements approved in 2004 or earlier included a budget line item for data collection and reporting on the standard national HOPWA goal for client outcomes, as well as a focus on this performance outcome goal. Consistent with these recent competitions, HUD

expects that these grantees will be able to report under the new format in 2006 (including reports on prior year performance) with some data on their client outcomes. By April 1, 2006, these and all competitive grantees must ensure they are collecting the new data elements to be reported for program operating years that will begin on or after April 1, 2006.

In addition, grantees are encouraged to provide the additional data, wherever available, on the new elements to help gain insight on these accomplishments. If the data on the new elements are not available, grantees using the forms will help identify those issues for themselves and the need to develop appropriate plans to collect this new data in order to report in the next operating year.

Many HOPWA recipients already collect information on client outcome results, or are using compatible data reporting systems such as the Homeless Management Information System (HMIS). Grantees also engage in ongoing assessments of the client's housing needs in updating and providing the program support. If the data is not available on a program-wide basis, it is possible that some of the project sponsors would have relevant information in client files that could help inform the start-up use of the new HOPWA reports. In providing this information to HUD, please note if there are special data collection issues with your report, such as *the data is complete for one project sponsor but not for all the program efforts*. Most of the required reporting elements are continued on the 2006 forms in some direct manner.

HUD is interested in assisting the grantees in reviewing the quality of this data, wherever available, along with offering support needed to accurately provide data in future reports. The type of factual information on program operations, such as information on the project sponsors and your use of other leveraged resources, will help demonstrate the accomplishments of these HOPWA projects.

As you develop your programs note that HUD has identified 10 management questions that are designed to assist programs to self-evaluate their program management and performance:

1. How many clients are you serving?
2. How many units were provided?
3. Who are you serving?
4. What services do you provide?
5. What does it cost?
6. What does it cost per service delivered
7. What happens to the "subjects" as a result of the services?
8. What does it cost per outcome?
9. What is the value of the outcome?
10. What is the return on investment?

How To Use This Guide

This User Guide is designed for easy use, reference and instruction on each section of the APR. A quick look at the Table of Contents will identify which pages of the guide correspond to sections of the APR.

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These sections mirror the layout of the APR

A grantee that is familiar with the APR may only need guidance about the HOPWA performance outcomes section of the APR, in which case the grantee can reference the Table of Contents and go to the specific page for complete instructions on the outcomes section of the APR. The first page of each chapter identifies what is found within the chapter and the corresponding pages of the APR. Within the chapter, call-outs will identify important terms, definitions, and notes to the user.



New APR data elements will be identified with the light bulb icon. The icon will only appear next to those data elements that were not part of the previous APR. Data elements that were previously asked for but have been revised in some manner will not show this icon.

Errata On May 4, 2006 the “HOPWA Technical Notes and Other Errata on Performance Reports and Updated Worksheet on Determining Housing Stability Outcomes,” was issued. Throughout the text of this User Guide a number ¹⁻²⁸ will indicate an item referenced in the errata. Users can click on the number to be taken to the description. Instructions have modified where possible to reflect the errata without changing the content of the APR document.

Taken as a whole, this guide may be followed from beginning to end to provide a comprehensive picture of all that is involved in using the HOPWA APR. Appendices are included that contain additional information on the Logic Model, a glossary of terms, and frequently asked questions. Other supplemental and training materials for both the APR and CAPER can be found on HUD’s web pages: <http://www.hud.gov/offices/cpd/aidshousing>

Housing Opportunities for Persons with AIDS (HOPWA): Annual Progress Report — Measuring Project Performance

(Grant Information Cover Page)

This chapter covers page 5 of the APR:

- ♦ Providing general HOPWA grant and contract information
-

This portion of the APR requires general grant and contract information. The following items are listed for purposes of further clarification:

- ♦ **HUD GRANT NUMBER:** Can be found on the signed grant agreement between the Grantee and HUD
- ♦ **OPERATING YEAR FOR THIS REPORT:** Specify the dates of the grantee's operating year and which year of the three-year grant cycle you are reporting for with this APR. If you have gone beyond the typical three-year grant cycle, and have formally requested and received an extension, check this box: ☐ ExtYr. Extensions are generally only provided on a one-time only basis for good cause, and for a period of one year on a no-cost basis.
- ♦ **SERVICE AREA:** As defined in your application or grant agreement
- ♦ **NAME AND TITLE OF AUTHORIZED OFFICIAL and NAME AND TITLE OF CONTACT AT GRANTEE AGENCY:** These names may be different. The person who is listed as the contact at the grantee agency will be the one listed on HUD's web pages.
- ♦ **HAVE YOU PREPARED AN EVALUATION REPORT?** This applies to competitive grantees that received additional funding to conduct program evaluation. If you have completed an evaluation report and it is available, provide the website or information on how to obtain a copy for posting on the HOPWA website.

Part 1: Grantee Narrative and Performance Assessment

This chapter covers Part 1 (page 6) of the APR:

- ♦ Providing a narrative summary of Outputs, Outcomes, Barriers and Recommendations, Technical Assistance, and an updated Logic Model

In this portion of the APR, grantees are to provide a narrative explanation of their program outputs, outcomes, barriers and technical assistance needs as well as any program highlights, innovations or information about additional program evaluations they may have undertaken. This narrative provides the grantee an opportunity to more fully explain and provide a context for the data contained in the APR. In your first year reporting with these revised forms, note any special data challenges you or your project sponsors have encountered, e.g., missing forms or incomplete data elements.

HUD has provided definitions for outputs and outcomes so that HOPWA programs may target their resources toward the appropriate activities in relation to the overall program mission of providing stable housing. The overall HOPWA program goal is that the use of HOPWA resources will allow this outcome to be achieved by 80 percent of all HOPWA beneficiaries by 2008. More data on program outcomes will be asked for in greater detail in Part 2D (HOPWA Performance Outcomes). Additional information on outcomes and evaluation can also be found on AIDS Housing of Washington's web pages: <http://www.aidshousing.org>

HOPWA Outputs: The number of units of housing and/or the number of households assisted during the operating year.

HOPWA Outcome: HOPWA-assisted households have been enabled to establish or better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce the risks of homelessness, and improve access to health care and other supportive services.

Within the context of these HUD-provided definitions, each HOPWA program has specified which outputs and outcomes were expected to be achieved using HOPWA resources. One of the ways these are specified is through the submission of a Logic Model (form HUD-96010) with each competitive grant application, and annual updates to that Logic Model. Prior to beginning this section it will be helpful to have your program's most recent Logic Model on hand. The Logic Model and the narrative sections in Part 1 will inform each other.

- OUTPUTS REPORTED:** In narrative format describe your program accomplishments, comparing the actual outputs (units, households) in the program year with the previously proposed outputs in Column 4: "Output Goal" of the Logic Model. Discuss any discrepancies between your proposed and actual outputs. Your narrative response in this section will help inform your update to Column 5 "Output Results" in the Logic Model.

- b. **OUTCOMES ASSESSED:** In narrative format describe your program accomplishments, comparing the actual outcomes (households have been enabled to maintain a stable living environment, prevent homelessness, and access care and support) in the program year with the previously proposed outcomes that correspond to Logic Model Column 6: “Achievement Outcome Goals.” Compare the current year outcomes with any baseline and/or prior year efforts. Your narrative response in this section will help inform your update to Column 7 “End Results” in the Logic Model.
- c. **BARRIERS AND RECOMMENDATIONS:** This section asks the grantee to select from a list all of the barriers encountered in their program and provide narrative descriptions of those barriers. The grantee may use this narrative to explain how these barriers affected their program’s ability to produce the outputs and outcomes previously projected. For each barrier identified the grantee should also describe any program action taken in response to those barriers, adjustments that will be made in order to achieve their previously stated output and outcome goals, and may also discuss other local HOPWA program improvements.
- d. **TECHNICAL ASSISTANCE:** Grantees should specify any technical assistance needs they have identified. This may be any need identified whether or not it relates to the above outputs, outcomes, or identified barriers.
- e. **LOGIC MODEL:** Grantees are required to complete and submit an updated Logic Model with their APR. Your Logic Model is intended to be an overview of your program activities and accomplishments, not a comprehensive explanation. The narrative questions above along with the Logic Model together provide a picture of your program. See Appendix A for additional information on how to create a Logic Model.

NOTE: HUD will be using a standardized “Master” Logic Model from which applicants can select needs, activities/outputs, and outcomes appropriate to their programs from a list provided. Information and training materials will be provided as needed to support these changes. This information will be available on HUD’s web pages: <http://www.hud.gov/offices/cpd/aidshousing>

Part 2: Overview of Grant Activities — Summary of All Projects

A. Information on Individuals, Beneficiaries, and Households

This chapter covers Part 2A (pages 7–8) of the APR:

- ♦ Reporting on the number of Individuals served with housing assistance, their prior living situation and special needs status
- ♦ Reporting on all Beneficiaries age, gender, race and ethnicity
- ♦ Reporting on Household's median income

This part of the APR is divided into three sections that ask for information separately on Individuals, Beneficiaries, and Households that received HOPWA housing assistance. Do not count individuals, beneficiaries, and households that received supportive services only. Reporting on Supportive Services only programs is found in Part 3C, page 22 of the APR. This section will describe three different but essential terms in understanding and reporting how persons with AIDS and their families are assisted: as *individuals* who are the eligible persons being assisted; *beneficiaries* which includes all household recipients for which the standard race and demographic data is reported and; *households* the term used in HOPWA regulations that describes the primary means of delivering housing and services and measuring program impact.

1. Individuals

This section contains questions pertaining to HOPWA-assisted **Individuals** that received housing assistance. In the case where a minor is the only PWA, questions in these sections would be answered based on that minor individual only. DO NOT consider any other persons residing in the household when answering these questions. For example in a family of three that received HOPWA Housing Assistance, and is comprised of an HIV-positive mother and two dependent children, the mother is the one about whom information is reported, and only one individual would be included in the count of the Total Number of individuals with HIV/AIDS who received HOPWA Housing Assistance asked for in Row i.

Individuals: The person with HIV/AIDS who qualifies the household for HOPWA assistance. This person may be considered "Head of Household." When the APR asks for information on eligible individuals please report on this person only.

- a. *Total HOPWA eligible individuals living with HIV/AIDS:*
Enter the total number of individuals living with HIV/AIDS served with HOPWA Housing Assistance in the reporting year. This number should be an **unduplicated** count. If this family began the year receiving STRMU assistance and then transitioned to tenant-based rental assistance, the eligible individual would be counted only once.

Unduplicated Count: An individual, household, or unit is counted only once.

Scenario: A Grantee has two project sponsors. The first reports having served 35 unduplicated individuals with HOPWA housing assistance in the reporting period. The second reports serving 40 unduplicated individuals with HOPWA housing assistance. The combined total of 75 and is reported in Row i.

Figure 1 (see APR page 7)

Individuals Served through Housing Assistance	Total Number
i. Number of individuals with HIV/AIDS who received HOPWA housing assistance	75

b. *Special Needs:* Enter the total number of individuals living with HIV/AIDS, who received HOPWA Housing Assistance in the operating year, and were also veterans, chronically homeless, and/or survivors of domestic violence.

Chronically Homeless: An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four episodes of homelessness in the past three years. Homeless means a person sleeping in a place not meant for human habitation, e.g., living on the streets, or in an emergency shelter. This does not include doubled-up or overcrowding situations.

Veteran: Anyone who served or is currently serving in the military forces.

Domestic Violence Survivor: A self-reported current or past victim of domestic violence.


Scenario: Of the 75 total unduplicated individuals reported above as receiving HOPWA housing assistance in the reporting period, the data provided by the two project sponsors shows 12 of those were veterans, 24 were chronically homeless, and 17 were survivors of domestic violence.

Figure 2 (see APR page 7)

Category	Veteran(s)	Chronically Homeless	Domestic Violence Survivor(s)
Total HOPWA eligible persons ² . Served with Housing Assistance	12	24	17

NOTE: The total number of individuals in these categories may not match the total number of individuals reported above because HOPWA-assisted individuals may be counted in more than one category or choose not to report this status to their HOPWA housing provider.

c. *Prior Living Situation:*

Row i.  Enter the total number of eligible individuals with HIV/AIDS that were served with HOPWA Housing Assistance in the prior operating year, who were also served in the current operating year. These individuals are considered to be “continuing.”

Continuing households are those that are remaining in the program at the end of the operating year and continuing into the next operating year. STRMU-assisted households may be considered continuing at the end of the operating year if they have not exhausted their 21 weeks of assistance and there is a reasonable expectation that they will need continued assistance.

Scenario: For the sample program serving 75 individuals during the reporting period, records from both project sponsors indicate that a total of 50 of those individuals were also served in the prior operating year. The number 50 would be entered below.

Figure 3 (see APR page 7)

Category		Total HOPWA eligible persons ² Served with Housing Assistance
i.	Continuing in the HOPWA program from the prior operating year	50

Rows ii–xvi. Report the prior living situation for all individuals that began receiving HOPWA Housing assistance in the operating year. Choose the ONE category that best describes the individual's most recent living situation.

Scenario: Using the previous example grantee that reported serving 75 individuals, 25 of those were new to the program in the reporting period. It is only these 25 new individuals for whom information must be entered into one of the categories below. DO NOT report any of the 50 individuals who were served in the prior operating year.

Figure 4 (see APR page 7)

New HOPWA eligible Persons ² living with HIV/AIDS (beginning HOPWA services during Operating Year)		Total HOPWA eligible persons ² Served with Housing Assistance
ii.	Place not meant for human habitation (such as a vehicle, abandoned building, bus/train/subway station/airport, or outside)	6
iii.	Emergency shelter (including hotel, motel, or campground paid for with emergency shelter voucher)	5
iv.	Transitional housing for homeless persons	
v.	Permanent housing for formerly homeless persons (such as Shelter Plus Care, SHP, or SRO Mod Rehab)	
vi.	Psychiatric hospital or other psychiatric facility	1
vii.	Substance abuse treatment facility or detox center	
viii.	Hospital (non-psychiatric facility)	
ix.	Foster care home or foster care group home	
x.	Jail, prison or juvenile detention facility	2
xi.	Rented room, apartment, or house	8
xii.	House you own	
xiii.	Staying or living in someone else's (family and friends) room, apartment, or house	2
xiv.	Hotel or motel paid for without emergency shelter voucher	1
xv.	Other	
xvi.	Don't Know or Refused	
xvii.	TOTAL (add item i–xvi)	75

2. Beneficiaries

This section requires demographic data pertaining to all beneficiaries that received HOPWA housing assistance in the reporting period. ALL members of the household, including the Head, or person with HIV/AIDS who qualifies the household for HOPWA assistance are reported in this section. In the example family receiving HOPWA housing assistance and comprised of an HIV-positive mother and two dependent children, the number of beneficiaries is three.

Beneficiary: Any individual who received HOPWA housing assistance during the operating year, including all members of the household.

a. Total number of HOPWA beneficiaries served with Housing Assistance:

Figure 5 (see APR page 8)

Individuals and Families Served through Housing Assistance	Total Number
i. Number of individuals with HIV/AIDS who received HOPWA housing assistance (from item 1a, line i above)	
ii. Number of other persons residing with the above eligible individuals in HOPWA-assisted housing	
iii. TOTAL number of <u>beneficiaries</u> served with Housing Assistance (lines i + ii)	

Row i. *Number of individuals with HIV/AIDS who received HOPWA housing assistance:* This number should be the same as 1. a. (i) and 1. c. (xvii).

Row ii. *Number of other persons residing with the above eligible individuals in HOPWA-assisted housing:* Total number of other persons living with the individual receiving HOPWA housing assistance. This would NOT include live-in-aides, other persons in a lease-shared housing situation who are not part of the individual's household for purposes of income calculation, or other persons in a congregate care facility.

Row iii. *Total number of beneficiaries served with Housing Assistance:* Enter the sum of Rows i and ii.

b. Age and Gender: Enter all beneficiaries according to their age and gender. The total of these numbers should equal the number in 2. a. (iii) above (Total number of Beneficiaries served with Housing Assistance). The sum of these categories should equal the total number of beneficiaries in a. (iii) above.

Figure 6 (see APR page 8)

Category		Male	Female
i.	Under 18		
ii.	18 to 30 years		
iii.	31 to 50 years		
iv.	51 years and Older		

- c. *Race and Ethnicity*: Enter all beneficiaries according to their race and ethnicity. The total of these numbers should equal the number in 2. a. (iii) above (Total number of Beneficiaries served with housing assistance). The data in this chart is consistent with HUD Form-27061, Race and Ethnic Data Reporting Form. As this is a standardized federal form, any guidance provided within that form may be used.

Figure 7 (see APR page 8)

	Racial Categories	Total Beneficiaries Served with Housing Assistance	Total Beneficiaries who are also Hispanic or Latino		Racial Categories	Total Beneficiaries Served with Housing Assistance	Total Beneficiaries who are also Hispanic or Latino
i.	American Indian/Alaskan Native			vi.	American Indian/Alaskan Native & White		
ii.	Asian			vii.	Asian & White		
iii.	Black/African American			viii.	Black/African American and White		
iv.	Native Hawaiian/Other Pacific Islander			ix.	American Indian/Alaskan Native & Black/African American		
v.	White			x.	Other Multi-Racial		

3. Households

This section requires income data on the **Household** as a whole.



Household Area Median Income: In this section, enter the number of households served with HOPWA housing assistance during the operating year according to their gross annual household median income. All income received by or on behalf of all household members (other than live-in-aides) should be counted toward household income. The Area Median Incomes can be found at <http://www.huduser.org>. The charts provided will list the area median income and a breakdown of median income by household size. Using these figures, each HOPWA-assisted household should be categorized within the appropriate income range below.

Household: A “household” means a single individual or a family composed of two or more persons, for which household incomes are used to determine eligibility and for calculation of the resident rent payment. Caregivers and non-beneficiaries who resided in the shared unit are not reported on in the APR.

Figure 8 (see APR page 8)

Percentage of area median income by area		Households Served with Housing Assistance
i.	0–30% of area median income (extremely low)	
ii.	31–50% of area median income (very low)	
iii.	51–60% of area median income (low)	
iv.	61–80% of area median income (low)	

Part 2: Overview of Grant Activities — Summary of All Projects

B. Budget and Grant Sources for Project Leveraging

This chapter covers Part 2B (page 9) of the APR:

- ♦ Reporting on total award and current grant balances
- ♦ Reporting on the amount and source of leveraged cash resources

The top part of the chart asks for general expenditure amounts for information purposes only.

Figure 9 (see APR page 9)

Available HOPWA Funding	i) HOPWA 3-year grant award:	\$
	ii) Prior year(s) Expenditures (for this grant only):	\$
	iii) Current year Expenditure:	\$
	iv) Current HOPWA balance: (equals i – [ii + iii])	\$

- i) *HOPWA 3-year grant award:* Total award amount. This number will be the same every year. It is the original total grant amount awarded.
- ii) *Prior year(s) expenditures (for this grant only):* Enter the total expenditures from all prior operating years for this grant award.
- iii) *Current year expenditure:* Enter the total expenditures for the current operating year.

NOTE: This should be the same number reported in Part 2C of the APR on page 11, Row 21 (Total expenditures). Report on the amounts actually spent, not the amount drawn down. If costs are incurred in the 12th month of the operating year but will not be filed until the following month, the costs should nevertheless be reported in order to accurately account for funds spent in the entire 12-month operating year.

- iv) *Current HOPWA balance:* Enter the remaining balance of the HOPWA grant. This should equal the sum of Rows ii and iii subtracted from Row i.

The second part of the chart gathers data on the amount of leveraged funds. Information on leveraging is required of competitive grantees based on the leveraging commitments included in the grant application. These documented leveraging commitments should be the basis for reporting in the APR. Grantees must identify the source(s) and amounts of cash resources leveraged from non-HOPWA sources that are used in conjunction with HOPWA funds for housing assistance/operations, support service delivery, or other approved activity. Leveraged funds may include cash resources, in-kind goods and services, and volunteer or donated services. For a more detailed case study of how to calculate and report leveraging, go to HUD's web pages:

<http://www.hud.gov/offices/cpd/aidshousing>

For information purposes only, the top row asks for the amount of funds used from other HOPWA grants during the reporting year.



Rows 1–6 ask for specific amounts by source³.

NOTE: Leveraging for resident rent payments in Row 6, can include the 30 percent tenant rent that participants in TBRA programs contribute toward their monthly rent and utilities.



Row 7 should be a total of all leveraged funding sources.

NOTE: Competitive grantees should document that their leveraging commitments, as specified in their grant agreement, are being met. Leveraged funds are those that are committed and used from other defined sources, and that the case manager has reasonable knowledge the household has accessed. This does not include incidental support received by HOPWA households.

Figure 10 (see APR page 9)

Sources of Leveraging (cash resources)		Total Amount of Leveraged Dollars (for this operating year)
	HOPWA (other formula/competitive grants). Information for collection purposes only, not considered leveraging.	\$
1.	Federal government (please specify):	\$
		\$
2.	State government (please specify)	\$
		\$
3.	Local government (please specify)	\$
		\$
4.	Foundations and other private cash resources (please specify)	\$
		\$
5.	Resident rent payments ³ in facilities	\$
6.	Grantee/project sponsor (Agency) cash	\$
7.	TOTAL (Sum of 1–6; same as Part 2C item 21)	\$

Part 2: Overview of Grant Activities — Summary of All Projects

C. Performance and Expenditure Information

This chapter covers Part 2C (pages 10–11) of the APR:

- ♦ Reporting aggregate information from all project sponsors on grant activities, the number of households served with HOPWA housing assistance and non-HOPWA housing assistance, and the amount of leveraged funds expended by activity

This chart summarizes all grant activities included in the APR. When filling out this part of the APR, grantees report in the aggregate; therefore, data should be gathered from all project sponsors and reported as the total number of households and total amount of funds expended by activity. The chart includes five sections:

- ♦ Housing Subsidy Assistance (*report on households*)
- ♦ Housing Development, Construction and Stewardship of facility-based housing (*report on units*)
- ♦ Supportive Services, excluding Housing Placement activities (*report on households*)
- ♦ Housing Placement Assistance Activities (*report on households*)
- ♦ Administrative and Management Services (*reporting on funds only*)

Each of these sections relates to a HOPWA-eligible activity and each section includes two or more rows that are subcategories. Each section of the chart will be discussed separately.

Figure 11 (see APR page 10): Housing Subsidy Assistance (Rows 1–5)

Housing Subsidy Assistance		Number of Households Receiving HOPWA Assistance	Amount of HOPWA Funds Expended	Number of Households Receiving Related Support with Non-HOPWA Sources	Amount of Leveraged Funds Expended
1.	Tenant-based Rental Assistance				
2a.	Facility-based units that receive operating subsidy: <u>Number of households supported</u>				
2b.	Facility-based units developed with capital funds and placed in service during the operating year: <u>Number of households supported</u>				
3.	Short-term Rent, Mortgage, and Utility Assistance				
4.	Adjustment to eliminate duplication (subtract)	()	()	()	() ⁴
5.	Total Housing Assistance (unduplicated)	* see note in text			

- ♦ **HOUSING SUBSIDY ASSISTANCE:** Lists the type of housing assistance that may be provided:



- ♦ **NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:**

Row 1. Tenant-based rental assistance: Report the number of households that received HOPWA tenant-based rental assistance.

Row 2a. Facility-based units receiving operating subsidy: Report the number of households that were supported in units that receive HOPWA operating funds.

Row 2b. Facility-based units developed with capital funds and placed in service during the operating year: Report the number of households that were supported in units that were newly placed in service during the operating year.

Row 3. Short-term Rent, Mortgage, and Utility Assistance: Report the number of households that received HOPWA-funded Short-term Rent, Mortgage, or Utility Assistance (STRMU).

Tenant-based rental assistance:

A housing subsidy provided to the eligible participant for use on the open rental market where the tenant holds a lease with a private landlord. The participant may use the subsidy in any FMR- and HQS-eligible unit.

Facility-based housing assistance:

All HOPWA Housing expenditures for the current operating year to support facilities including community residences, SRO dwellings, short-term facilities, project-based units, master leased units, and other housing facilities approved by HUD.

Short-term Rent, Mortgage, and Utility Assistance:

A housing subsidy provided to mortgagors or renters in their current place of residence for assistance with rent, mortgage or utilities for a period of up to 21 weeks.

NOTE: The costs associated with the operation of facility-based non-housing, i.e., meeting or office space where clients access case management or other services but no housing units are located on site, should be reported as a supportive services cost.



Remember that reporting by “household” means information is provided for the household regardless of how many people that includes. A household may only include the HOPWA-eligible individual(s), or may include multiple members. It is important to know if the members are a family, thus total household income is gathered, or if there are two unrelated individuals sharing a unit in a lease-shared situation, where only one individual is receiving the benefit of the HOPWA assistance and only that individual’s income information is gathered.

Row 4. Adjustment to eliminate duplication: Report the number of households that are included in more than one category of housing assistance.

***Row 5. Total Housing Assistance:** Subtract Row 4 from the total of Rows 1–3 and enter the amount here.

NOTE: This data element is a key output. It is the building block for outcome and assessment data for all households assisted with the tenant-based and facility-based rental assistance, and short-term rent, mortgage, and utility assistance. This number, as reported by all grantees, is provided to HUD and Congress as key measure of program activities.

Adjustment to Eliminate Duplication

refers to the number of households that received more than one type of assistance in a given service category. The adjustment for duplication should provide an unduplicated count.

♦ AMOUNT OF HOPWA FUNDS EXPENDED:

- Row 1. Tenant-based rental assistance:* Report the amount of HOPWA funds expended on the households that received tenant-based rental assistance.
- Row 2a. Facility-based units that received operating subsidy:* Report the amount of HOPWA operating funds expended on the units that were occupied by HOPWA households. These are housing costs not to include costs for on-site supportive services that are included in row 9a.
- Row 2b. Facility-based units developed with capital funds and placed in service during the operating year:* Report the amount of HOPWA operating funds expended on households assisted in newly opened units.
- Row 3. Short-term Rent, Mortgage, and Utility Assistance:* Report the amount of HOPWA funds expended on the households that were supported with Short-term Rent, Mortgage, and Utility Assistance (STRMU).
- Row 4. Adjustment to eliminate duplication:* Enter data if available.
- Row 5. Total Housing Assistance (unduplicated):* Add Rows 1–3 and enter the total here.



- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING RELATED SUPPORT WITH NON-HOPWA SOURCES: If grantees know the exact households that received the related non-HOPWA housing support, the exact number of households should be reported. Alternatively, if equal amounts of housing assistance are provided from HOPWA and another source, all households could be reported as receiving related non-HOPWA support. If other sources of funding equal approximately one-half of the total HOPWA amount used, for example on TBRA, half of the TBRA-assisted households could be reported as receiving related non-HOPWA support.

Related Support from a Non-HOPWA Source may be any other source of non-HOPWA funds, e.g. HOME funds, or other state or local funds, which the grantee leverages and applies toward tenant-based or facility-based rental assistance or STRMU.

- Row 1. Tenant-based Rental Assistance:* Report the number of households that also received a non-HOPWA source of tenant-based rental assistance.
- Row 2a. Facility-based units that receive operating subsidy:* Report the number of households assisted in units where HOPWA operating funds are leveraged with other non-HOPWA sources of operating funds.
- Row 2b. Facility-based units developed with capital funds and placed in service during the operating year:* Of the households assisted in units that were newly placed in service, report the number that resided in units supported with non-HOPWA-leveraged funds.
- Row 3. Short-term Rent, Mortgage, and Utility Assistance:* Report the number of households that also received a non-HOPWA source of short-term rent, mortgage, or utility assistance.
- Row 4. Adjustment for duplication:* Report the number of households that are included in more than one category of housing assistance.
- Row 5. Total Housing Assistance (unduplicated):* Add Rows 1–3 and enter the total here.

♦ AMOUNT OF LEVERAGED FUNDS EXPENDED:

- Row 1. Tenant-based Rental Assistance:* For the households identified as receiving related support with non-HOPWA TBRA sources, report the amount of leveraged funds expended.
- Row 2a. Facility-based units that receive operating subsidy:* For the households identified as receiving related support with non-HOPWA sources in facility-based units, report the amount of leveraged operating funds that were expended.
- Row 2b. Facility-based units developed with capital funds and placed in service during the operating year:* For the households identified as residing in newly opened units supported with non-HOPWA-leveraged operating funds, report the amount of leveraged funds that were expended.
- Row 3. Short-term Rent, Mortgage, and Utility Assistance:* For the households identified as receiving related support with non-HOPWA STRMU-like funds, report the amount of leveraged funds that were expended.
- Row 4. ⁴ Adjustment to Eliminate Duplication:* NO DATA REQUIRED.
- Row 5. Total Housing Assistance:* Add Rows 1–3 and enter the total here.

The second section in this chart asks for information about housing development and stewardship activities. These activities are measured in units.

NOTE: Only units are reported in this section. If any **households** were supported during the reporting period in units receiving operating funds, the households should be reported in Rows 2a and 2b as appropriate.

Facility-Based Units: Include community residences, SRO dwellings, short-term facilities, project-based units, and master-leased units.

Stewardship Units: The special situation where units were developed with HOPWA funds but have no current HOPWA costs and are subject to 3- or 10-year use periods.

Figure 12 (see APR page 10): Housing Development (Rows 6–8)

Housing Development (Construction and Stewardship of facility-based housing)		Number of <u>Units</u> Receiving HOPWA Assistance	Amount of HOPWA Funds Expended	Number of <u>Units</u> Receiving Related Support with Non- HOPWA Sources	Amount of Leveraged Funds Expended
6.	Facility-based units being developed with capital funding but not yet opened (show units of housing planned)				
7.	Stewardship units subject to 3- or 10-year use periods				
8.	Total Housing Development				

- ♦ HOUSING DEVELOPMENT (CONSTRUCTION AND STEWARDSHIP OF FACILITY-BASED HOUSING): Lists the type of housing development activity.
- ♦ NUMBER OF UNITS RECEIVING HOPWA ASSISTANCE:[6](#)

Row 6. Facility-based units developed with capital funding but not yet opened: Report the number of planned facility-based units currently being developed with HOPWA funds. Units reported here should not have been occupied during the operating year. If the same unit is assisted with HOPWA and non-HOPWA funds, enter the unit under both columns.

Row 7. Stewardship units subject to 3- or 10-year use periods: In those special situations where units were previously developed with HOPWA funds and are now subject to a minimum use period, report the number of units. Units reported here should NOT be receiving any HOPWA operating funds. Units supported with HOPWA operating funds are to be reported in Row 2, Column B above.

Row 8. Total Housing Development: Add Rows 6 and 7 and enter the total here.



♦ AMOUNT OF HOPWA FUNDS EXPENDED:

- Row 6. Facility-based units developed with capital funding but not yet opened:* Report the amount of HOPWA funds expended in the operating year on the facility-based units that are in development.
- Row 7. Stewardship units subject to 3- or 10-year use periods:* NO DATA REQUIRED. Stewardship units should not currently be utilizing HOPWA operating funds. Operating expenses for these units may be supported with other non-HOPWA-leveraged funds and should be reported in Row 7, “number of Households receiving related support with non-HOPWA sources,” and “Amount of Leveraged Funds Expended.”
- Row 8. Total Housing Development:* Same as Row 6.



♦ NUMBER OF **UNITS** RECEIVING RELATED SUPPORT WITH NON-HOPWA SOURCES: Report how many of the identified units also received related development support from a non-HOPWA source. This may be any other source of non-HOPWA funds that the grantee leverages for the construction, rehabilitation and/or development of these units, e.g. Tax Credit funding, Section 811 funding.

- Row 6. Facility-based units developed with capital funding but not yet opened:* Report the number of units that are also receiving construction, rehabilitation, and/or development funds from non-HOPWA resources. If the same unit is assisted with HOPWA and non-HOPWA funds, enter the unit under both columns.
- Row 7. Stewardship units subject to 3- or 10-year use periods:* Report the number of Stewardship units that are supported with non-HOPWA funds.
- Row 8. Total Housing Development:* Add Rows 6 and 7, and enter the total here. These are costs that are key to developing housing. Related service costs should be reported in row 9a.



♦ AMOUNT OF LEVERAGED FUNDS EXPENDED:

- Row 6. Facility-based units developed with capital funding but not yet opened:* Report the amount of non-HOPWA-leveraged funds that contributed to the development of the facility-based units identified.
- Row 7. Stewardship units subject to 3- or 10-year use periods:* Report the amount of non-HOPWA-leveraged funds that contribute to the ongoing operation of the Stewardship units during the reporting year.
- Row 8. Total Housing Development:* Add Rows 6 and 7, and enter the total here.

The third section of the chart asks for supportive services information broken into two categories: households that received supportive services in conjunction with HOPWA housing assistance, and households receiving **ONLY** supportive services without any HOPWA housing assistance.

Figure 13 (see APR page 10): Supportive Services (Rows 9a–11)

Supportive Services (excluding Housing Placement Activities)		Number of Households Receiving HOPWA Assistance	Amount of HOPWA Funds Expended	Number of Households Receiving Related Support with Non- HOPWA Sources	Amount of Leveraged funds from Other Sources ⁵
9a.	Supportive Services in conjunction with HOPWA housing activities (for total households assisted item 5)				
9b.	Supportive Services NOT in conjunction with housing activities (HOPWA funded Supportive Services Only)				
10.	Adjustment to eliminate duplication (subtract)	()	()	()	() ⁴
11.	Total Supportive Services				

- ♦ **SUPPORTIVE SERVICES (EXCLUDING HOUSING PLACEMENT ACTIVITIES):** Housing placement activities are reported in the next section. ***Note:** The costs for delivering services are to be counted as a supportive service cost, in contrast to operating costs that are for facility operation.*



- ♦ **NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:**

Row 9a. Supportive Services in conjunction with HOPWA housing activities: Of the total HOPWA-housing assisted households reported in Row 5, in the “Number of Households Receiving HOPWA Assistance” column report the number of these households that received HOPWA-funded supportive services (except housing placement or housing information services) at the same time they received HOPWA-funded housing assistance.

Row 9b. Supportive Services NOT in conjunction with housing activities (In those special circumstances where non-HOPWA housing is provided and the HOPWA program provides supportive services only): Report the number of households that received HOPWA-funded supportive services (except housing placement or housing information services) but were NOT simultaneously assisted with HOPWA-funding housing.

Row 10. Adjustment to eliminate duplication: Report the number of households that were counted in both Rows 9a and 9b.

Scenario: A household enters the program and initially requires only HOPWA-funded case management. The household would be counted in Row 9b. Five months later this same household receives STRMU assistance while continuing to receive HOPWA-funded case management. The household would be counted in Row 9a and outcomes for these households would be reported in Part 2,D.

Row 11. Total Supportive Services: Subtract the number in Row 10 from the total of Rows 9a and 9b and enter the difference.

♦ AMOUNT OF HOPWA FUNDS EXPENDED:

Row 9a. Supportive Services in conjunction with HOPWA housing activities: Report the amount of HOPWA funds expended on supportive services for the HOPWA-housing assisted households identified.

Row 9b. Supportive Services NOT in conjunction with housing activities: Report the amount of HOPWA funds expended on the households that received supportive services only, not in conjunction with HOPWA-funded housing.

Row 10. Adjustment to eliminate duplication: Enter data if available.

Row 11. Total Supportive Services: Add Rows 9a–9b and enter the total here.

♦ NUMBER OF **HOUSEHOLDS** RECEIVING RELATED SUPPORT WITH NON-HOPWA SOURCES:

Row 9a. Supportive Services in conjunction with HOPWA housing activities: Report the number of households that received HOPWA housing assistance and supportive services from any non-HOPWA source.

Scenario: A household receiving HOPWA housing assistance receives case management services through Ryan White.


Row 9b. Supportive Services NOT in conjunction with housing activities: Report the number of households that received HOPWA supportive services only and also received supportive services from any other non-HOPWA source.

Scenario: A household is receiving HOPWA-funded case management services (no direct HOPWA housing assistance) and also accesses mental health services funded through a local community mental health agency.

Row 10. Adjustment to eliminate duplication: Report the number of households that were counted in both Row 9a and 9b.

Scenario: A household enters the program and initially receives only HOPWA-funded case management. The household would be counted in Row 9a. Further assessment later reveals the need for mental health services that the HOPWA provider does not have expertise to provide so the client receives those services elsewhere. The household would be counted in Row 9b.

Row 11. Total Supportive Services: Subtract the number in Row 10 from the total of Rows 9a and 9b and enter the difference here.

♦  **AMOUNT OF LEVERAGED FUNDS FROM OTHER SOURCES:** [5](#) For the households identified report the dollar amount of leveraged funds expended.

Row 9a. Supportive Services in conjunction with HOPWA housing activities: Report the amount of non-HOPWA-leveraged funds that contributed to the households identified.

Row 9b. Supportive Services NOT in conjunction with housing activities. Report the amount of non-HOPWA-leveraged funds that contributed to the households identified.

Row 10. Adjustment to eliminate duplication: NO DATA REQUIRED.[4](#)

Row 11. Total Supportive Services: Add Rows 9a–9b and enter the total here.

The fourth section of the chart asks for data on housing information and permanent housing placement activities only. All other supportive services provided to households should be reported in the previous section.

Figure 14 (see APR page 11): Housing Placement Assistance Activities (Rows 12–14)[8](#)

Housing Placement Assistance Activities		Number of <u>Households</u> Receiving HOPWA Assistance	Amount of HOPWA Funds Expended	Number of <u>Households</u> Receiving Related Support with Non-HOPWA Sources	Amount of Leveraged Funds Expended
12.	Housing Information Services				
13.	Permanent Housing Placement Services				
14.	Total Housing Placement Assistance				

- ♦ HOUSING PLACEMENT ASSISTANCE ACTIVITIES: Housing Information or Permanent Housing Placement Services.



- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING HOPWA ASSISTANCE:

Row 12. Housing Information Services: Report the number of households that received HOPWA-funded housing information services.

Row 13. Permanent Housing Placement Services: Report the number of households that received HOPWA-funded permanent housing placement services.

NOTE: The errata⁸ indicates that an “adjustment to eliminate duplication” line can be added between Rows 13 and 14. Grantees can insert this information where possible for all columns except in the Amount of Leveraged Funds Expended column.

Row 14. Total Housing Placement Assistance: Add Rows 12–13 and enter the total here.

NOTE: These households are NOT added to the households reported in row 5, “Total Housing Assistance.” Data on housing placement services is being requested to determine the scope of these activities. Duplication may occur in Rows 12–13.

- ♦ AMOUNT OF HOPWA FUNDS EXPENDED:

Row 12. Housing Information Services: Report the amount of HOPWA funds expended on households that received HOPWA-funded housing information services.

Row 13. Permanent Housing Placement Services: Report the amount of HOPWA funds expended on households that received HOPWA-funded permanent housing placement services.

Row 14. Total Housing Placement Assistance: Add Rows 12–13 and enter the total here.



- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING RELATED SUPPORT WITH NON-HOPWA SOURCES:

NOTE: For grantees providing Housing Information Services through a call center the number of households served may be difficult to determine. In this case each call could reasonably be considered to be one household unless the caller self-identifies as having accessed the service previously. Of those households counted, the number also accessing a non-HOPWA form of housing assistance may be unknown. If the grantee leverages other funds for use in housing information services and pools these with the HOPWA funds, the number of households receiving related non-HOPWA support would equal the total number served. If non-HOPWA-leveraged funds account for one-third of the total Housing Information funds, one-third of households accessing this service could reasonably be considered to receive “Related non-HOPWA Support.”

Housing Information Services

can include such activities as housing counseling, housing advocacy, information and referral services, fair housing information, and housing search and assistance.

Permanent Housing Placement Services

are costs associated with establishing a new residence equaling up to two months worth of rental costs that may include deposits, credit and background checks. These services can only be provided to HOPWA-eligible participants.

Row 12. Housing Information Services: Report the number of households receiving non-HOPWA-funded Housing Information Services.

Row 13. Permanent Housing Placement Services: Report the number of households receiving non-HOPWA-funded Permanent Housing Placement Services.

Scenario: The HOPWA program assists a household with a rent deposit but does not provide assistance with the credit check fee because another local agency already provides this service, which the household utilizes. This household would be counted as receiving a non-HOPWA-funded Permanent Housing Placement Service.

Row 14. Total Housing Placement Assistance: Add Rows 12–13 and enter the total here.



♦ AMOUNT OF LEVERAGED FUNDS FROM OTHER SOURCES:

Row 12. Housing Information Services: Report the amount of non-HOPWA-leveraged funds that contributed to the Housing Information Services provided to the households identified.

Row 13. Permanent Housing Placement Services: Report the amount of non-HOPWA-leveraged funds that contributed to the Permanent Housing Placement Services provided to the households identified.

Row 14. Total Housing Placement Assistance: Add Rows 12–13 and enter the total here.

In the fifth and final section of the chart grantees record all other eligible administrative and management activities.

Figure 15 (see APR page 11): Administration and Management Services (Rows 15–21)

Administration and Management Services			Amount of HOPWA Funds Expended		Amount of Leveraged Funds Expended
15.	Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residence)				
16.	Project Outcomes/Program Evaluation (if approved)				
17.	Grantee Administration (maximum 3% of total of HOPWA grant)				
18.	Project Sponsor Administration (maximum 7% of total of HOPWA grant)				
19.	Other Activity (if approved in grant agreement) Specify:				
20.	Total Administration & Management				
Total Expended					
21.	Total Expenditures (sum of lines 5, 8, 11, 14 & 20)				

♦ ADMINISTRATION AND MANAGEMENT SERVICES:

NOTE: If the Grantee received approval to spend funds on an administrative or management activity that is not listed in this section, the name of the activity should be reported in Row 19.

♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:

Rows 15–21. NO DATA REQUIRED. Administrative and Management funds cannot be used to provide direct services to HOPWA-assisted households.

♦ AMOUNT OF HOPWA FUNDS EXPENDED:

Row 15. Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residences): Report the amount of HOPWA funds expended on Resource Identification activities.

Row 16. Project Outcomes/Program Evaluation (if approved): Report the amount of HOPWA funds expended on project outcome or program evaluation activities.

Resource Identification activities may include developing housing assistance resources such as brochures and web resources, outreach and relationship building with landlords, and time spent in locating affordable housing vacancies. The only Technical Assistance funds eligible in this category are those provided in conjunction with community residences. These are not direct services provided to HOPWA-assisted households.

NOTE: This applies ONLY to Competitive Grantees that were awarded funds for additional program evaluation activities as approved by HUD. .

Row 17. Grantee Administration: Report the amount of HOPWA funds the Grantee spent on grant administration activities during the operating year. The amount cannot exceed 3 percent of total HOPWA grant funds awarded.

Row 18. Project Sponsor Administration: Report the amount of HOPWA funds all project sponsors spent on grant administration activities during the operating year. The amount cannot exceed 7 percent of total HOPWA grant funds received by this project sponsor.



Row 19. Other Activity (if approved in grant agreement): If another Administrative or Management Activity was approved, report the amount of HOPWA funds expended on that activity.

Row 20. Total Administration & Management: Add Rows 15–19 and enter the total here.

Row 21. Total Expenditures: Add Rows 5, 8, 11, 14, and 20 and enter the total here.

♦ NUMBER OF HOUSEHOLDS RECEIVING RELATED SUPPORT WITH NON-HOPWA SOURCES:

Row 15–21. NO DATA REQUIRED. Administrative and Management funds cannot be used to provide direct services to HOPWA-assisted households.



♦ AMOUNT OF LEVERAGED FUNDS FORM OTHER SOURCES:

Row 15. Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residences): Report the amount of non-HOPWA-leveraged funds that were used in Resource Identification activities.

Row 16. Project Outcomes/Program Evaluation (if approved): Report the amount of non-HOPWA-leveraged funds that were used in Project Outcomes/Program Evaluation activities.

- Row 17. Grantee Administration:* Report the amount of non-HOPWA-leveraged funds that were used in Grantee Administrative activities.
- Row 18. Project Sponsor Administration:* Report the amount of non-HOPWA-leveraged funds that were used in Project Sponsor Administrative activities.
- Row 19. Other Activity (if approved in grant agreement):* Report the amount of non-HOPWA-leveraged funds that were used in other approved activities.
- Row 20. Total Administration & Management:* Add Rows 15–19 and enter the total here.
- Row 21. Total Expenditures:* Add Rows 5, 8, 11, 14, and 20 and enter the total here.

Part 2: Overview of Grant Activities — Summary of All Projects

D. HOPWA Performance Outcomes

Section 1. Housing Stability

This section covers Part 2D, Section 1 (page 12) of the APR:

- ♦ Reporting on the number of households served by type of housing assistance
 - ♦ Reporting on destination for households that have exited and the status of STRMU-assisted households
-

The APR is set up to measure housing stability by collecting data on the housing situation of the households that received HOPWA housing support prior to entering the program. In many cases, households continue in the program year-to-year or newly enter the program during the year. This part assesses the housing stability of these households, including single-family households, at the time of re-assessment or when they exit the program. Assessment should be based on a reasonable expectation of the housing result. For example if a household leaves a program, what is reasonably expected to be their destination? The APR also provides a worksheet that uses this data to show your program results toward achieving housing stability. See the updated housing stability worksheet [28](#) that discusses the categories HOPWA has provided from which to choose the types of housing situations.

Key to this section is an annual assessment that would determine that the assistance is to continue or be changed in some manner. HOPWA regulations at 24 CFR 754.500 require ongoing assessment. Grantees should undertake an annual household assessment to plan for the assistance that will continue into the next year. This section allows grantees to report on how they're meeting this requirement.

Households assisted with Tenant-based Rental Assistance and Facility-based Rental Assistance that exit the HOPWA program or transition to any other kind of assistance should be reported in the most appropriate category upon their exit.

STRMU recipients who are assessed and reasonably expected to have achieved stability and are not likely to need additional STRMU support should be reported in a stable category, such as “3” private housing, even if they have received only some portion of the 21 weeks of assistance. If additional STRMU assistance is likely to continue, or if case management assessment indicates that even after having received the full 21 weeks of benefit the household is reasonable expected to need further future support, report as category “2” temporary housing. STRMU assistance is provided as a homelessness prevention tool and therefore, households reported in category 2, “Temporary Housing” are not counted toward your programs results in achieving housing stability.

The chart on page 12 of the APR will be reviewed by breaking it into two sections, the Tenant-based Rental Assistance and Facility-based Rental Assistance, and Short-term Rent, Mortgage, and Utility (STRMU) assistance.

Figure 16 (see APR page 12): Types of Housing Assistance [9](#) & [28](#)

Permanent Housing Subsidy Assistance	Total Number of Households Receiving HOPWA Assistance	Number of Households Continuing	Number of Exited Households Component and Destination	
Tenant-based Rental Assistance	ENTER ALL HOUSEHOLDS SERVED	REPORT ALL HOUSEHOLDS WHO WILL CONTINUE TO RECEIVE ASSISTANCE	1 (Emergency Shelter)	=
			2 (Temporary Housing)	=
			3 (Private Housing)	=
			4 (Other HOPWA)	=
			5 (Other Subsidy)	=
			6 (Institution)	=
			7 (Jail/Prison)	=
			8 (Disconnected)	=
			9 (Death)	=
Facility-based Housing Assistance	ENTER ALL HOUSEHOLDS SERVED	REPORT ALL HOUSEHOLDS WHO WILL CONTINUE TO RECEIVE ASSISTANCE	1 (Emergency Shelter)	=
			2 (Temporary Housing)	=
			3 (Private Housing)	=
			4 (Other HOPWA)	=
			5 (Other Subsidy)	=
			6 (Institution)	=
			7 (Jail/Prison)	=
			8 (Disconnected)	=
			9 (Death)	=

- ♦ TYPE OF HOUSING ASSISTANCE: Tenant-based Rental Assistance or Facility-based Rental Assistance.



- ♦ TOTAL NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:

NOTE: If a household received more than one type of HOPWA housing assistance in the year, they should be counted in all categories that apply. HUD will be able to de-duplicate based on data provide in destination 4.

Tenant-based Rental Assistance: Report the total number of households that received HOPWA-funded tenant-based rental assistance in the operating year. This is the total of all currently enrolled AND all exited households who accessed the type of housing assistance at any time during the year. The data provided should match the data in Part 2C, Row 1, “Number of Households receiving HOPWA Assistance.”

Facility-based Rental Assistance: Report the total number of households that received HOPWA-funded facility-based housing assistance in the operating year. This is the total of all currently enrolled AND all exited households who accessed the type of housing assistance at any time during the year. The data provided should match the data in Part 2C, Row 2, “Number of Households Receiving HOPWA Assistance.”

- ♦ NUMBER OF HOUSEHOLDS CONTINUING: Report what is reasonably expected based on program operation and case management assessment.

Continuing households are those that received assistance during the operating year and are continuing into the next operating year.

Tenant-based Rental Assistance: Report the number of HOPWA-assisted households that are continuing to receive tenant-based housing assistance.

Facility-based Rental Assistance: Report the number of HOPWA-assisted households that are continuing to receive facility-based housing assistance.

NOTE: The total number of households reported in Column 3, subtracted from the total number of households reported in Column 1, should equal the amount reported in Column 2.



- ♦ NUMBER OF EXITED HOUSEHOLDS, COMPONENT, AND DESTINATION: For exiting households, report the reasonable expectation of the outcome, by destination, based on case management assessment and planning.

Tenant-based Rental Assistance: Report the number of households that left the program during the operating year by their housing destination.

Facility-based Rental Assistance: Report the number of households that left the program during the operating year by their housing destination.

Exited Households for Tenant-based Rental Assistance and Facility-based Rental Assistance are those that have departed/been terminated from HOPWA housing assistance.

Figure 17 (see APR page 12): Short-term Housing Subsidy Assistance⁹ & ²⁸

Short-term Housing Assistance	Total Number of Households Receiving HOPWA Assistance	Of the Total number Households Receiving STRMU Assistance this operating year	Status of STRMU Assisted Households at the End of Operating Year
Short-term Rent, Mortgage, and Utility Assistance		What number of those households received STRMU Assistance in the prior operating year: <input type="text"/>	1 (Emergency Shelter) =
			2 (Temporary Housing) =
			3 (Private Housing)* =
			4 (Other HOPWA) =
			5 (Other Subsidy) =
		What number of those households received STRMU Assistance in the two (2) prior operating years (ago): <input type="text"/>	6 (Institution) =
			7 (Jail/Prison) =
			8 (Disconnected) =
			9 (Death) =

- ♦ SHORT-TERM HOUSING ASSISTANCE: Short-term Rent, Mortgage, or Utility Assistance.



- ♦ TOTAL NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE:

NOTE: If a household received more than one type of HOPWA housing assistance in the year, they should be counted in all categories that apply. HUD will be able to de-duplicate based on data provide in destination 4.

Short-term Rent, Mortgage, and Utility Assistance: Report the total number of households that received HOPWA-funded Short-term Rent, Mortgage, and Utility Assistance (STRMU) in the operating year covered by this APR. This is the total of all currently enrolled AND all exited households who accessed any amount of this type of housing assistance at any time during the year. The data provided should match the data in Part 2C, Row 3, “Number of households Receiving HOPWA Assistance.”



- ♦ OF THE TOTAL NUMBER OF HOUSEHOLDS RECEIVING STRMU ASSISTANCE THIS OPERATING YEAR:

What number of those households received STRMU Assistance in the prior operating year: FOR STRMU-ASSISTED HOUSEHOLDS ONLY, grantees report the number of the STRMU-assisted households that also received any amount of STRMU assistance in the prior operating year; therefore, STRMU would have been received over a two year period.

What number of those households received STRMU Assistance in the prior two (2) operating years: FOR STRMU-ASSISTED HOUSEHOLDS ONLY, grantees report the number of households that received any amount of STRMU assistance in both of the prior two operating years; therefore, STRMU would have been received over a three year period.



♦ STATUS OF STRMU-ASSISTED HOUSEHOLDS AT THE END OF THE OPERATING YEAR:

Short-term Rent, Mortgage, and Utility Assistance: Indicate a status for each STRMU-assisted household at the end of the operating year or upon the household's exit. See page 23 and the revised Housing Stability Worksheet in Appendix A²⁸ for additional information on categorizing STRMU-assisted households.



For additional information on Housing Stability Outcomes, go to AIDS Housing of Washington's web site: <http://www.aidshousing.org>

Section 2. Access to Care and Support

This section covers Part 2D, Section 2 (pages 13–14) of the APR:

- ♦ Reporting on the services accessed (even if no HOPWA funds are spent on these services) and the households' income for households receiving HOPWA housing assistance
 - ♦ Reporting on services accessed for households receiving supportive services but not in connection with HOPWA housing assistance.
-

Access to health care and supportive services was chosen as an outcome because it is believed to lead to greater stabilization and improvement in the lives of people living with HIV/AIDS. The APR asks for information on six categories of services that are intended as measures of this outcome, even if no HOPWA funds were expended for direct housing costs. These measures are proxies for more direct measures of access to care and services, meaning they “stand in place of” more direct measures. Proxy outcomes are used when direct measurement of the intended outcome is difficult. Note that in determining the corresponding support, household income must be reported on an annual basis and a status check on these households can be done at this time.

The first four measures were chosen out of many ideas identified by grantees and project sponsors at the 2003 grantees' meeting as the indicators most relevant to helping people with HIV/AIDS attain or sustain stability or improvements in their lives. The two job-related measures were added because this program is an integral part of HUD's larger community development efforts.

This section asks for information for households that receive supportive services¹⁰, broken into two sections. The first is for reporting on households receiving supportive services in conjunction with HOPWA-funded housing assistance. The second section is for reporting on households receiving a HOPWA supportive service NOT in conjunction with HOPWA-funded housing. If a grantee is operating a housing program, they should provide information based on reasonable knowledge of additional support the household receives. Together these sections will allow HOPWA grantees to show the important effects on the lives of the people they serve that are made by connecting them with related support while they are receiving housing assistance. The combination of stable housing and access to care is a fundamental distinguishing aspect of this program.


-  a. *Support IN CONJUNCTION with HOPWA-funded Housing Assistance¹⁰*. Complete this chart ONLY for households that received supportive services from any source at the same time they received HOPWA-funded housing assistance. These are the same HOPWA-assisted households that were reported in Part 2C, line 9a, 12 and 13. Reporting at entry/continuing or exit/continuing allows data to be collected that demonstrates changes in the household status that are a result of accessing these services.

Figure 18 (see APR page 13)

Category of Services Accessed	Number of Households receiving HOPWA Housing Assistance		Number of jobs that included health benefits
	At Entry or Continuing ¹¹	At Exit or Continuing ¹¹	
i. Has a housing plan for maintaining or establishing stable on-going residency			
ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iv. Had medical insurance coverage or medical assistance			
v. Obtained an income-producing job created by this project sponsor during the year			
vi. Obtained an income-producing job outside this agency during the year			

- ♦ **CATEGORIES OF SERVICES ACCESSED:** Lists the services to be reported on for households. Lines 1-4 are likely to be reported by most grantees. Lines 5-6 will be reported by grantees with employment services. Data is based on reasonable knowledge of this household. If this data is not available, consider what this means for the mission of your program and it's impact on the assisted household.
- ♦ **NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT ENTRY OR CONTINUING:** Report the household's status at the beginning of the operating year or upon initial entry into the program.

At Entry or Continuing¹¹
indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

Row i. Has a housing plan for maintaining or establishing stable ongoing residency: Report the number of households that had a housing plan in place upon their initial entry into the program (not created by your program) AND the number of households continuing in the program from the previous year who have a housing plan in place.

- Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of new households that had contact with a case manager or benefits counselor at least once in the last three months upon their initial entry into the program (not the HOPWA program case manager) AND the number of households continuing in the program from the previous year that had contact with a case manager/benefits counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.
- Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of new households that had contact with a primary health care provider at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.
- Row iv. Had medical insurance coverage or medical assistance:* Report the number of new households that had medical insurance coverage or medical assistance upon their initial entry into the program AND the number of households continuing in the program from the previous year that have medical insurance coverage or medical assistance. This may be client self-report.
- Row v. NO DATA REQUIRED.*
- Row vi. NO DATA REQUIRED.*

- ♦ **NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT EXIT OR CONTINUING:** Report in Rows i–vi the household’s status at the end of the operating year or upon departure from the HOPWA program.

At Exit or Continuing 1 indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

- Row i. Has a housing plan for maintaining or establishing stable ongoing residency:* Report the number of exiting and continuing households that had a housing plan.
- Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of exiting and continuing households that had contact with a case manager or benefits counselor in the specified time period. For participants receiving case management from a non-HOPWA source, the client may self-report the amount of contact.
- Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan):* Report the number of exiting and continuing households that had contact with a primary health care provider in the specified time period. This may be client self-report.
- Row iv. Had medical insurance coverage or medical assistance:* Report the number of exiting and continuing households that had medical insurance coverage or medical assistance.

Row v. *Obtained an income-producing job created by this project sponsor during the year:* Report the number of exiting and continuing households that obtained jobs where they were hired and paid by this project sponsor.

Row vi. *Obtained an income-producing job outside this agency during the year:* Report the number of exiting and continuing households that obtained a job without any direct assistance from the project sponsor, i.e. they were not paid by the project sponsor.

♦ NUMBER OF JOBS THAT INCLUDED HEALTH BENEFITS:

Rows i–iv. NO DATA REQUIRED.

Row v. *Obtained an income-producing job created by this project sponsor during the year:* For the households reported to have obtained a job where they were hired and paid by this project sponsor, report the number of those jobs that included health benefits.

Row vi. *Obtained an income-producing job outside this agency during the year:* For the households reported to have obtained a job without the direct assistance of the project sponsor, i.e., they were not paid by the project sponsor, report the number of those jobs that included health benefits.

b. *Income AT ENTRY OR CONTINUING:* Report on the household monthly income of households receiving supportive services ONLY (paid for by HOPWA or non-HOPWA sources) that is in conjunction with HOPWA-funded housing assistance. These are the same households reported in the above chart and in Part 2C, Rows 9a and 13.

NOTE: Households may be reported in both income charts if they were in the program at the beginning and the end of the program year.

Rows 1–8. For entering and continuing households, report the number of households in each income category. All households that are continuing from the previous year should be counted in an income category at the beginning of the operating year AND all households that entered the program at any time throughout the year should be counted in an income category at the time of entry.

Figure 19 (see APR page 13)¹²

	A. Monthly Household Income at Entry or Residents continuing from prior Year End	Number of Households
1.	No income	
2.	\$1–\$150	
3.	\$151– \$250	
4.	\$251–\$500	
5.	\$501–\$1,000	
6.	\$1001–\$1500	
7.	\$1501–\$2000	
8.	\$2001 +	

b. (con't) Income AT EXIT/END OF YEAR: Report on the household monthly income of households receiving supportive services (ONLY) that is in conjunction with HOPWA-funded housing assistance. These are the same households reported in the above chart and in Part 2C, Rows 9a, 12 and 13.

Rows 1–8. For exiting and continuing households, report the number of households in each income category. All households that are have exited during the year should be reported in an income category at the time of exit AND all households that are continuing into the next operating year should be reported in an income category at the end of the operating year.

*Figure 20 (see APR page 13, Part 2D, 2)*¹²

	B. Monthly Household Income at Exit/End of Year	Number of Households
1.	No income	
2.	\$1–\$150	
3.	\$151–\$250	
4.	\$251–\$500	
5.	\$501–\$1,000	
6.	\$1001–\$1500	
7.	\$1501–\$2000	
8.	\$2001 +	



- c. *Support NOT IN CONJUNCTION with HOPWA-funded Housing Assistance¹⁰ (those special circumstances where the HOPWA program covers the cost of supportive services and housing needs are addressed elsewhere, through other sources).* Complete this chart for all households receiving HOPWA supportive services ONLY, but did not HOPWA-funded housing assistance. These are the same households that were reported in Part 2C, Rows 9b, 12 and 13.

Figure 21 (see APR page 14, Part 2D, 2)

Category of Services Accessed	Number of Households receiving HOPWA Housing Assistance ¹³		Number of jobs that included health benefits
	At Entry or Continuing ¹⁴	At Exit or Continuing ¹⁴	
i. Has a housing plan for maintaining or establishing stable on-going residency			
ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan)			
iv. Had medical insurance coverage or medical assistance			
v. Obtained an income-producing job created by this project sponsor during the year			
vi. Obtained an income-producing job outside this agency during the year			

- ♦ CATEGORIES OF SERVICES ACCESSED: Lists the services to be reported on for households.
- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT ENTRY OR CONTINUING¹³: Report the household's status at the beginning of the reporting year or upon initial entry into the program.

Row i. *Has a housing plan for maintaining or establishing stable ongoing residency:* Report the number of households that had a housing plan in place upon their initial entry into the program (not created by your program) AND the number of households continuing in the program from the previous year who have a housing plan in place.

At Entry or Continuing¹⁴ indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of new households that had contact with a case manager or benefits counselor at least once in the last three months upon their initial entry into the program (not the HOPWA program case manager) AND the number of households continuing in the program from the previous year that had contact with a case manager/benefits counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.

Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of new households that had contact with a primary health care provider at least once in the last three months upon their initial entry into the program AND the number of households continuing in the program from the previous year that had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan). This may be client self-report.

Row iv. Had medical insurance coverage or medical assistance: Report the number of new households that had medical insurance coverage or medical assistance upon their initial entry into the program AND the number of households continuing in the program from the previous year that have medical insurance coverage or medical assistance. This may be client self-report.

Row v. NO DATA REQUIRED.

Row vi. NO DATA REQUIRED.

- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA HOUSING ASSISTANCE AT EXIT OR CONTINUING:¹³ Report in Rows i–vi based on the household’s status at the end of the operating year or upon departure from the HOPWA program.

Row i. Has a housing plan for maintaining or establishing stable on-going residency: Report the number of exiting and continuing households that had a housing plan.

Row ii. Had contact with a case manager/benefit counselor at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a case manager or benefits counselor in the specified time period. For participants receiving case management from a non-HOPWA source, the client may self-report the amount of contact.

Row iii. Had contact with a primary health care provider at least once in the last three months (or consistent with the schedule specified in their individualized service plan): Report the number of exiting and continuing households that had contact with a primary health care provider in the specified time period. This may be client self-report.

At Exit or Continuing ¹ indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

Row iv. Had medical insurance coverage or medical assistance: Report the number of exiting and continuing households that had medical insurance coverage or medical assistance.

Row v. Obtained an income-producing job created by this project sponsor during the year: Report the number of exiting and continuing households that obtained a job with the direct assistance of the project sponsor.

Row vi. Obtained an income-producing job outside this agency during the year: Report the number of exiting and continuing households that obtained a job without any direct assistance from the project sponsor.

♦ NUMBER OF JOBS THAT INCLUDED HEALTH BENEFITS:

Rows i–iv. NO DATA REQUIRED.

Row v. Obtained an income-producing job created by this project sponsor during the year: For the households reported to have obtained a job with the direct assistance of the project sponsor, report the number of those jobs that included health benefits.

Row vi. Obtained an income-producing job outside this agency during the year: For the households reported to have obtained a job without the direct assistance of the project sponsor, report the number of those jobs that included health benefits.



For more information on additional ways to measure Access to Care and Services, go to AIDS Housing of Washington's web site: <http://www.aidshousing.org>

Part 3. HOPWA Project Sponsor Information

This chapter covers Part 3 (pages 15–16) of the APR:

- ♦ Providing location and contact information for each project sponsor conducting activities under the grant
 - ♦ Reporting in the aggregate on all supportive services provided by all project sponsors and the amount of funds spent by activity
-

This section of the APR collects project and organizational information for each project sponsor.

NOTE: *Grantees that operate the program directly and directly carry out activities should also fill out this portion of the APR.*

1. General Project Sponsor Information

Provide the following information for **every** project sponsor undertaking HOPWA program activities. This information will improve the quality of national data on the HOPWA program.

- ♦ Project Sponsor Name
- ♦ Name and Title of Contact at Project Sponsor
- ♦ Email Address
- ♦ Business Address
- ♦ City, State, Zip
- ♦ Phone
- ♦ Fax Number
- ♦ Website
- ♦ Total HOPWA Subcontract Amount for this Organization
- ♦ Primary Service or Site Information: Project Zip Code(s)
- ♦ Is the sponsor a nonprofit organization:
 - Yes, faith-based and/or grassroots. See the glossary for a definition of “grassroots” organization.
 - No

A checklist is provided to assist the project sponsors in determining which section(s) of the APR must be completed, i.e. the activities the sponsor is carrying out.

Figure 22 (see APR page 15)

Activity	Section (fill out following)
Non facility-based Housing Assistance <input type="checkbox"/> Tenant-based Rental Assistance <input type="checkbox"/> Short-term Rent, Mortgage and Utility Assistance	Part 3, Section A
<input type="checkbox"/> Facility-based Housing Assistance	Part 3, Section B
<input type="checkbox"/> Facility-based Stewardship Units ONLY	1-page certification (at end of the facility-based housing assistance section)
<input type="checkbox"/> Supportive Services ONLY	Part 3, Section C

Section 2. Summary of all Supportive Services, Housing Placement Assistance and Administration and Management Services provided by this project sponsor, in conjunction with HOPWA-funded Housing Assistance

This section summarizes all supportive services provided by each project sponsor. The chart includes five sections, each relating to a HOPWA-eligible supportive service activity. Each section will be discussed separately.

NOTE: Both the total number of Households served with Supportive Services and the Total Funds Expended should equal the total Supportive Services added from the respective project sponsor Housing Assistance charts (TBRA, STRMU, and Facility-based) in Part 3.

Figure 23 (see APR page 16): Supportive Services

Supportive Services		Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Amount of HOPWA Funds Expended by this project sponsor
a.	Total Supportive Services Provided by this project sponsor in conjunction with HOPWA-funded Housing Assistance (unduplicated)*		
Break-out of Supportive Services provided by this Project Sponsor Agency (total ¹⁵ may exceed above because the same households may be served in more than one category)			
	Supportive Services	Number of Households Receiving HOPWA Assistance from this project sponsor	Amount of HOPWA Funds Expended by this project sponsor
b.	Adult day care and personal assistance		
c.	Alcohol and drug abuse services		
d.	Case management/client advocacy/ access to benefits & services		
e.	Child care and other child services		
f.	Education		
g.	Employment assistance and training		
h.	Health/medical/intensive care services, if approved (Note: Client records must conform with 24 CFR §574.310)		
i.	Legal services		
j.	Life skills management (outside of case management)		
k.	Meals/nutritional services		
l.	Mental health services		
m.	Outreach		
n.	Transportation		
o.	Other (only if HUD-approved):		

- ♦ **SUPPORTIVE SERVICES:** Lists the types of supportive services.



- ♦ **Number of Households Receiving HOPWA Assistance from this project sponsor:**

Row a. Report the total number of Households receiving any supportive service from this project sponsor.

Rows b–o. Report the number of Households receiving each kind of supportive service listed in Rows b–o. Households may be counted in more than one category, therefore the sum of Rows b–o may exceed the total in Row a.

♦ AMOUNT OF HOPWA FUNDS EXPENDED BY THIS PROJECT SPONSOR:

Row a. Report the total number of funds spent on all supportive service provided by this project sponsor for the households listed.

Rows b–o. Report the amount of funds spent on each kind of supportive service listed in Rows b–o. The total of these rows should equal the sum in Row a.

The second section of the chart asks for data on housing information and permanent housing placement activities only.

Figure 24 (see APR page 16): Housing Placement Assistance

Housing Placement Assistance Activities		Number of <u>Households</u> Receiving HOPWA Assistance	Amount of HOPWA Funds Expended
p.	Housing Information Services		
q.	Permanent Housing Placement Services		
r.	Total Housing Placement Assistance		

♦ HOUSING PLACEMENT ASSISTANCE ACTIVITIES: Housing Information or Permanent Housing Placement Services.



♦ NUMBER OF **HOUSEHOLDS** RECEIVING HOPWA ASSISTANCE:

Row p. *Housing Information Services:* Report the number of households receiving housing information services from this project sponsor in the reporting year.

Row q. *Permanent Housing Placement Services:* Report the number of households receiving permanent housing placement services from this project sponsor in the reporting year.

Row r. *Total Housing Placement Assistance:* Add Rows p and q and enter the total here.

NOTE: The errata¹⁶ indicates that an “adjustment to eliminate duplication” line can be added between Rows q. and r. Grantees can insert this information where possible.

Housing Information may include housing counseling, housing advocacy, information and referral services, fair housing information, and housing search and assistance.

Permanent Housing Placement activities are those associated with establishing a residence such as providing assistance with deposits, credit and background checks.

♦ AMOUNT OF HOPWA FUNDS EXPENDED:

Row p. Report the amount of funds spent on housing information services provided by this project sponsor for the households listed.

Rows q. Report the amount of funds spent on permanent housing placement services by this project sponsor for the households listed.

Row r. **Total Housing Placement Assistance:** Add Rows p and q and enter the total here.

NOTE: The errata¹⁶ indicates that an “adjustment to eliminate duplication” line can be added between Rows q. and r. Grantees can insert this information where possible.

The third section of the charts requests data on administrative and management services only.

Figure 25 (see APR page 16)

	Administration and Management Services	Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Amount of HOPWA Funds Expended by this project sponsor
s.	Resource Identification to establish, coordinate, and develop housing assistance resources		
t.	Project Outcomes/Program Evaluation (if approved)		
u.	Project Sponsor Administration (maximum 7% of total)		
v.	Other Activity (if approved in grant agreement) Specify:		
w.	Total Administration & Management		
x.	Total Expenditures (sum of items a + r + w)		

- ♦ ADMINISTRATION AND MANAGEMENT SERVICES: Lists the type of administrative or management service.

- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:

Row s-u. NO DATA REQUIRED¹⁷. HOPWA households cannot be direct recipients of administrative and management activities.



Row v. If another Administrative or Management Activity was approved, specify the type of activity.

Row w-x. NO DATA REQUIRED.

- ♦ AMOUNT OF HOPWA FUNDS EXPENDED BY THIS PROJECT SPONSOR:

Row s. **Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residences):** Report the amount of HOPWA funds expended on Resource Identification activities.

Resource Identification activities may include developing housing assistance resources such as brochures and web resources, outreach and relationship building with landlords, and time spent in locating affordable housing vacancies. These are not direct services provided to HOPWA-assisted households.

Row t. *Project Outcomes/Program Evaluation (if approved)*: Report the amount of HOPWA funds expended on project outcome or program evaluation activities.

NOTE: This applies *ONLY* to Competitive Grantees that were awarded funds for additional program evaluation activities as approved HUD.

Row u. *Project Sponsor Administration*: Report the amount of HOPWA funds spent on grant administration activities during the operating year (maximum 7 percent of total amount received by this project sponsor).



Row v. *Other Activity (if approved in grant agreement)*: If another Administrative or Management Activity was approved, report the amount of HOPWA funds expended on that activity.

Row w. *Total Administration & Management*: Add Rows s–v and enter the total here.

Row x. *Total Expenditures*: Add Rows a, r, and w and enter the total here.

Part 3. HOPWA Project Sponsor Information

A. Non Facility-Based Housing Assistance

This chapter covers Part 3A (page 17) of the APR:

- ♦ Reporting on the number of households receiving Tenant-based Rental Assistance (TBRA) and Short-term Rent, Mortgage, and Utility Assistance (STRMU), and corresponding funds spent

This section of the APR requires information on Non Facility-based Housing Assistance, i.e. Tenant-based Rental Assistance (TBRA) and Short-term Rent, Mortgage, and Utility Assistance (STRMU) only. This type of housing assistance is NOT attached to a specific unit in a facility.

NOTE: Project-based units, Single Room Occupancy (SRO), and Community Residences are considered Facility-based housing and should be reported in Part 3B: Facility-based Housing Assistance. Facility-based subsidies remain with the unit regardless of the tenant that occupies the unit.

1. Tenant-Based Rental Assistance (TBRA)

Each project sponsor providing tenant-based rental assistance must complete this chart in the APR:

Figure 26 (see APR page 17, Part 3A)

Housing Assistance Categories		Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Total HOPWA Funds Expended during Operating Year by this project sponsor
a.	Tenant-based rental assistance (TBRA)		
b.	Rental Assistance (RA) program using a reduced subsidy (shallow rent or partial rent), <u>as approved in grant agreement</u>		
c.	Total RA Housing Assistance (total a + b)		
Supportive Services Provided by This Project Sponsor Agency to Households Receiving Tenant-based Rental Assistance			
e. 18	Total TBRA Supportive Services (unduplicated) provided by this project sponsor		

- ♦ **HOUSING ASSISTANCE CATEGORIES:** Tenant-based rental assistance or other type of rental assistance if approved.



♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:

Row a. Tenant-based rental assistance (TBRA): Report the number of households that received TBRA during the reporting year.

Row b. Rental Assistance program using reduced subsidy (shallow or partial rent) if approved in grant agreement: If you have been approved to provide a shallow or partial rent subsidy, report the number of households that received this type of assistance.

Row c. Total Rental Housing Assistance: Add Rows a and b and record the total here.

Row e.¹⁸ Total TBRA Supportive Services (unduplicated) provided by this project sponsor: For the households reported in Row c, record the number of those households that received HOPWA supportive services provided by this project sponsor. This should be an unduplicated count, i.e., households that received both TBRA and a shallow rent subsidy should only be counted once if they received HOPWA supportive services from this project sponsor.

♦ TOTAL HOPWA FUNDS EXPENDED DURING OPERATING YEAR BY THIS PROJECT SPONSOR:

Row a. Tenant-based rental assistance (TBRA): Report the amount of HOPWA funds expended on the households that received TBRA during the reporting year.

Row b. Rental Assistance program using reduced subsidy (shallow or partial rent) if approved in grant agreement: If you have been approved to provide a shallow or partial rent subsidy, report the amount of HOPWA funds expended on the households that received this type of assistance during the reporting year.

Row c. Total Rental Housing Assistance: Add Rows a and b and record the total here.

Row e.¹⁸ Total TBRA Supportive Services (unduplicated) provided by this project sponsor: NO DATA REQUIRED. Funds do not have to be unduplicated.

2. Short-term Rent, Mortgage and Utility Assistance (STRMU)

Each project sponsor providing Short-term Rent, Mortgage, and Utility Assistance (STRMU) must complete this chart in the APR. Grantees and project sponsors that provide only rent, only mortgage, or only utility assistance should also report here.

Figure 27 (see APR page 17)

Housing Assistance Categories		Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Total HOPWA Funds Expended during Operating Year by this project sponsor
a.	Total for Short-term mortgage, rent and/or utility assistance		
b.	Of the above households assisted (line a), please provide the number of mortgage payments ¹⁹		
Supportive Services Provided by This Project Sponsor Agency to Households Receiving STRMU			
c.	Total STRMU Supportive Services (unduplicated) provided by this project sponsor		

- ♦ HOUSING ASSISTANCE CATEGORIES: Short-term Rent, Mortgage, and/or utility assistance.



- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:

Row a. Short-term rent, mortgage, and/or utility assistance: Report the number of households that received rent, mortgage, and/or utility assistance during the reporting year.

Row b. ¹⁹Total STRMU Housing Assistance: Report the number of households for whom a mortgage payment or utility assistance payment was provided. Count each household only once no matter how many times they received assistance.

Row c. Total STRMU Supportive Services (unduplicated) provided by this project sponsor: For the households reported in Row a, record the number of those households that received HOPWA supportive services provided by this project sponsor. Each household should be counted only once.

♦ TOTAL HOPWA FUNDS EXPENDED DURING OPERATING YEAR BY THIS PROJECT SPONSOR:

Row a. Short-term rent, mortgage, and/or utility assistance: Report the total number of households who received mortgage payments as part of STRMU activities.

Row b. ¹⁹ *Of the above households assisted, provide the number of mortgage payments:* Report the amount of funds expended on all mortgage assistance payments and utility assistance payments.

Row d. Total STRMU Supportive Services (unduplicated) provided by this project sponsor: Of the households reported in Row a, report the total number of those households who received Supportive Services in conjunction with HOPWA STRMU assistance.

Part 3. HOPWA Project Sponsor Information

B. Facility-Based Housing Assistance

This chapter covers Part 3B (pages 18–19) of the APR:

- ♦ Providing information on construction, rehabilitation and acquisition of facility-based units
 - ♦ Providing information on facility-based housing expenditures, including rental assistance activities
-

This section of the APR collects information on all types of Facility-based Housing provided by each project sponsor.

- ♦ For capital development projects (construction, rehabilitation, or acquisition) complete sections 1 and 2. A separate section 1 and 2 should be completed for each capital development facility.
- ♦ For operating or rental assistance costs in facility-based units complete sections 2 and 3.
- ♦ Complete all parts 1–3 for units that were in construction/rehab/acquisition part of the year and placed in operation for part of the year.
- ♦ In the special circumstances that no HOPWA operating funds were expended on the facility during the current operating year, but the facility was developed with HOPWA funds (subject to ten years of operation for acquisition, new construction and substantial rehabilitation costs, or three years for non-substantial rehabilitation costs), complete the “HOPWA Housing Project Certification of Continued Usage Form” at the end of Part 3B of the APR on page 21.

1a. Capital Development of Projects Only (For EACH facility developed)

Complete the following chart for EACH facility. Definitions that may be helpful are listed below the chart.

NOTE: Any non-HOPWA funds expended should also be reported as leveraging in Part 2B, page 9 and Part 2C, page 10.

Figure 28 (see APR page 18)

Type of Development	HOPWA Funds Expended	Non-HOPWA funds Expended	Type of Facility [Check <u>only one</u> box.]
<input type="checkbox"/> New construction	\$	\$	<input type="checkbox"/> Permanent housing <input type="checkbox"/> Short-term Shelter or Transitional housing <input type="checkbox"/> Supportive services only facility
<input type="checkbox"/> Rehabilitation	\$	\$	
<input type="checkbox"/> Acquisition	\$	\$	
a.	Purchase/lease of property:		Date (mm/dd/yy):
b.	Rehabilitation/Construction Dates:		Date started: Date Completed:
c.	Operation dates:		Date residents began to occupy: <input type="checkbox"/> Not yet occupied
d.	Date supportive services began:		Date started: <input type="checkbox"/> Not yet providing services
e.	Number of units in the facility:		<div style="display: flex; justify-content: space-between;"> HOPWA-funded units Total Units </div>
f.	Is a waiting list maintained for the facility?		<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, number of participants on the list at the end of operating year ____</i>
g.	What is the address of the facility (if different from business address)?		
h.	Is the address of the project site confidential?		<input type="checkbox"/> Yes, protect information; do not publish list. <input type="checkbox"/> No, can be made available to the public.

Non-substantial Rehabilitation: Rehabilitation that involves costs that are less than or equal to 75 percent of the value of the building after rehabilitation.

Operation dates: A facility open for operation on the first day of tenant residency or, in the case of a supportive services only facility, the day participants first access services on site.

Permanent Housing: Housing where the eligible individual has a continuous legal right to remaining in the unit.

Rehabilitation: The improvement or repair of an existing structure, or an addition to an existing structure that does not increase the floor area by more than 100 percent.

Short-term or Transitional housing: Short-term facility-based housing includes facilities that provide temporary shelter to eligible individuals for up to 60 days in any 6-month period. Transitional housing facilities have as their purpose facilitating the movement of eligible individuals to permanent housing within a reasonable amount of time (usually 24 months).

Substantial Rehabilitation: Rehabilitation that involves costs in excess of 75 percent of the value of the building after rehabilitation.

Supportive Services only facility: Supportive services are provided at the facility but no housing is located on site.



1b. Capital Development of Projects Only (Complete one chart for EACH facility)

For units entered above, complete the following charts by listing the number of HOPWA units that fulfill the listed criteria. Definitions that may be helpful are listed below the chart.

Figure 29 (see APR page 18)

	Designated for the chronically homeless	Designated for assist the homeless	International Building Code Compliant 20	Energy-Star Compliant	504 Accessible	Years of affordability (IN YEARS) 21
Rental units constructed (new) and/or acquired with or without rehab						
Rental units rehabbed						
Homeownership units constructed (if approved)						

Homeownership units constructed (if approved): Construction of units for the purpose of sale to income-qualified individuals.

International Building Code Compliant:[19](#) NO DATA REQUIRED.

Energy-Star Compliant: The use of Energy Star-certified construction products and appliances.

504 Accessible: Compliance with Section 504 of the Rehabilitation Act of 1973 which provides for nondiscrimination in all HUD programs, services and activities receiving federal financial assistance, as regulated at 24 CFR Part 8.

Years of affordability:[21](#) The number of years the units are required to remain affordable units. Multiple the number of units by the years of affordability. For example a 5-unit newly constructed residence would mean 50 years of affordability.

2. Units assisted in types of housing facility (For EACH facility assisted)

For EACH facility, complete the following chart. For each type of facility-based unit indicate the number of bedrooms. Transitional housing efforts should be reported here. Master leased units should be reported in Row d.²³

NOTE: The number of persons in each bedroom of the community residence would not be reported here because this section is asking for information on the number and type of housing units only. The chart on the next page asks for information on households where these individuals will be reported. The individuals should also be reported wherever individuals/households information is asked for in other sections of the APR. In many cases these could be similar numbers, e.g., when 5 leased units serve 5 households.

Scenario: A project sponsor has leased in its name, five 1-bedroom and two 2-bedroom project-based units in which they provide rental assistance. They also receive operating funds for one community residence that has five bedrooms; each bedroom is shared by two participants. They would report as indicated in the chart.

Figure 30 (see APR page 19)

Type of housing facility operated by project sponsor		Total Number of Units Operated in the Operating Year Categorized by the number of Bedrooms per Units					
		SRO/0 bdrm	1 bdrm	2 bdrm	3 bdrm	4 bdrm	5+ bdrm
a.	Single room occupancy dwelling						
b.	Community residence ²²						1
c.	Short-term or transitional supported housing facility						
d.	Units leased by project sponsor/Project-based rental assistance units ²³		5	2			
e.	Other housing facility (specify):						

3. Facility-Based Housing Expenditures

This portion of the APR asks for information on the number of households served in facility-based housing. Project sponsors complete this by providing information in the aggregate for all facility-based housing they provide. Master leased units should be reported in Row d.

NOTE: Facility-based rental assistance is distinct from tenant-based rental assistance in that facility-based assistance is connected to a specific unit(s). Report only facility-based rental assistance in this section.

Figure 31 (see APR page 20)

Housing Assistance Categories		Number of Households Receiving HOPWA Assistance from this project sponsor	Total HOPWA Funds Expended during Operating Year by this project sponsor
a.	Leasing costs		
b.	Operating Costs		
c.	Project-based Rental Assistance (PBRA) or Rental subsidy for a unit owned (or leased) by another agency 24		
d.	Other, if approved (Specify):		
e.	Adjustment to eliminate duplication (subtract)	()	
f.	Total Facility-Based Housing Assistance		
Supportive Services Provided by This Project Sponsor Agency to Households Receiving Facility-based Rental Assistance			
g.	Total Facility-Based Supportive Services (unduplicated) provided by this project sponsor		

- ♦ HOUSING ASSISTANCE CATEGORIES: Lists the type of facility-based housing assistance.



- ♦ NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:

Row a. *Leasing costs:* Report the number of households assisted in facility-based units that were leased with HOPWA funds.

Scenario: A project sponsor leases three units from a private landlord and pays for the lease with HOPWA funds. The project sponsor would report the number of households that were housed in these three units in the operating year.

Row b. *Operating costs:* Report the number of households assisted in facility-based units that were operated with HOPWA funds in the operating year.

Scenario: A project sponsor receives operating funds from the grantee to operate a 20-bed SRO facility. The project sponsor would report the number of households that were housed in these 20 units in the operating year.

Row c. [24](#) *Project-based Rental Assistance (PBRA) or Rental subsidy for a unit owned (or leased) by another agency:* Report the number of households assisted in facility-based units supported with HOPWA rental assistance in the operating year.

Scenario: A project sponsor has an agreement with another local agency (owner/landlord) to set aside three units in their housing facility specifically for HOPWA participants. The HOPWA project sponsor places participants in the units, the participant pays 30 percent of their monthly adjusted income toward rent and utilities, the project sponsor pays the remaining portion of the rent on the participant's behalf to the owner/landlord agency.

Row d. *Other (if approved):* If another facility-based activity has been approved, specify what that activity is and report the number of households that received this type of HOPWA assistance in the operating year.

Row e. *Adjustment to eliminate duplication:* Record the number of households that were counted in more than one row above.

Row f. *Total Facility-based Housing Assistance:* Subtract Row e from the sum of Rows a–d and enter the number here.

Row g. *Total Facility-based Supportive Services (unduplicated) provided by this project sponsor:* For the households reported in Row f, report the number of those that received HOPWA-funded supportive services in the operating year.

♦ TOTAL HOPWA FUNDS EXPENDED DURING THE OPERATING YEAR BY THIS PROJECT SPONSOR:

Row a. *Leasing costs:* Report the amount of HOPWA funds expended on facility-based leasing costs in the operating year.

Row b. *Operating costs:* Report the amount of HOPWA funds expended on facility-based operating costs in the operating year. This does not include the cost of on-site supportive services which should be reported in row g.

Row c. [24](#) *Rental subsidy for a unit owned or leased by another agency OR project-based rental assistance:* Report the amount of HOPWA funds expended on the households assisted in facility-based rental units in the operating year.

Row d. *Other (if approved):* If another facility-based activity has been approved, report the amount of HOPWA funds expended on the activity in the operating year.

Row e. *Adjustment to eliminate duplication:* NO DATA REQUIRED. Funds do not have to be unduplicated.

- Row f. Total Facility-based Housing Assistance:* Add Rows a–d and enter the total here.
- Row g. Total Facility-based Supportive Services (unduplicated) provided by this project sponsor:* Report the amount of HOPWA funds expended on supportive services for all households in facility-based housing in the operating year. This should be the same as Row f.

Part 3. HOPWA Project Sponsor Information

HOPWA Housing Project Certification of Continued Usage For Facility-Based Stewardship Units ONLY

This chapter covers page 21 of the APR:

- ♦ For Stewardship Units that must comply with the 3- or 10-year use periods ONLY
-



Stewardship Certification

In the special circumstances where grantees are using HOPWA funds for new construction, acquisition or rehabilitation of a building or structure, are required to operate the facility to benefit HOPWA-eligible persons for a minimum of ten years (or three years for non substantial rehabilitation) although funds should be expended within the first three years from the date of grant agreement. An APR must be submitted for each operating year during which HOPWA funds are expended. In addition, grantees must report on their continued stewardship of these housing units by providing annual information on the continued use of the building or structure for each year during the 10-year or 3-year use period, even if no additional HOPWA funds were expended. The new APR provides a short “stewardship” report form to be used when no additional HOPWA funds are being used to operate these units.

During the initial period of up to three years for construction, acquisition or rehabilitation, the grantee would report those activities as asked for in other sections of the APR. If the grantee is responsible for acquisition, rehabilitation, or construction and does not receive any operating funds after the initial development period, they only need to complete this Stewardship Certification.

This section requires general grant and contact information. Clarification may be needed about the following information requested:

- ♦ **HUD GRANT NUMBER:** Can be found on the signed grant agreement between the Grantee and HUD.
- ♦ **OPERATING YEAR FOR THIS REPORT:** Specify the dates of the operating year and which year of the grant cycle you are reporting for with this APR.
- ♦ **DATE FACILITY BEGAN OPERATIONS:** Stewardship begins once the facility is put into operation, i.e. the first date of resident occupancy.
- ♦ **NUMBER OF UNITS RECEIVING HOUSING ASSISTANCE WITH HOPWA FUNDS:** The number of units created with HOPWA funds through construction, rehabilitation, or acquisition, that are subject to the 3- or 10-year use period as defined by the level of development activity the grantee is engaged in (see glossary for definition of substantial and non-substantial rehab).
- ♦ **AMOUNT OF LEVERAGING FROM OTHER SOURCES USED DURING THE OPERATING YEAR:** These are all non-HOPWA funds used for current operation of the Stewardship units.

Part 3. HOPWA Project Sponsor Information

C. Supportive Services Only Programs

This chapter covers Part 3C (page 22) of the APR:

- ♦ In the special circumstances where project sponsors are providing supportive services only, report on the activities and funds spent

1. Supportive Services

This section must be completed by grantees that provide supportive services ONLY. The chart includes five sections, each relating to a HOPWA-eligible supportive service activity. Each section will be discussed separately.

Figure 32 (see APR page 22)

Supportive Services		Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor ²⁵	Total HOPWA Funds Expended during the Operating year by this project sponsor
a.	Total Households receiving Supportive Services Only (unduplicated)		
Break-out of Supportive Services provided by this Project Sponsor Agency			
	Supportive Services	Number of Households Receiving HOPWA Assistance from this project sponsor	Total HOPWA funds Expended during the Operating year by this project sponsor
b.	Adult day care and personal assistance		
c.	Alcohol and drug abuse services		
d.*	Case management/client advocacy/ access to benefits & services		
e.	Child care and other child services		
f.*	Education		
g.*	Employment assistance and training		
h.	Health/medical/intensive care services, if approved (Note: Client records must conform with 24 CFR §574.310)		
i.	Legal services		
j.	Life skills management (outside of case management)		
k.	Meals/nutritional services		
l.	Mental health services		
m.	Outreach		
n.	Transportation		
o.	Other (only if HUD-approved):		

- ♦ **SUPPORTIVE SERVICES:** Lists the types of supportive service activities.

- ♦  **NUMBER OF HOUSEHOLDS RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:** [25](#)

***NOTE:** *The use of HOPWA funds for activities reported in Rows d, f, and g, triggers outcome reporting for these households on page 14.*

Row a. Report the total number of Households receiving any supportive services from this project sponsor. This number should be unduplicated, therefore, count each household only once regardless of how many supportive services they received.

Rows b–o. Report the number of Households receiving each kind of supportive service listed in Rows b–o. Households may be counted in more than one category; therefore, the sum of these rows will not necessarily equal the number reported in Row a.

- ♦ **TOTAL HOPWA FUNDS EXPENDED DURING THE OPERATING YEAR BY THIS PROJECT SPONSOR:**

Row a. Report the total number of funds spent on supportive service provided by this project sponsor for the households listed. This does not include Housing Placement Activities or Administrative and Management Services.

Rows b–o. Report the amount of funds spent on each kind of supportive service listed.

The second section of the chart asks for data on specific housing placement activities only.

Figure 33 (see APR page 22): Housing Placement Assistance

Housing Placement Assistance Activities		Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Total HOPWA Funds Expended during the Operating year by this project sponsor
p.*	Housing Information Services		
q.*	Permanent Housing Placement Services		
r.	Total Housing Placement Assistance		

- ♦ **HOUSING PLACEMENT ACTIVITIES:** Housing Information Services and Permanent Housing Placement Services.



- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:
Report the number of household receiving each kind of housing placement assistance.

Row p. Housing Information Services: Report the number of households receiving housing information services from this project sponsor in the reporting year.

**NOTE: The use of HOPWA funds for activities reported in this row triggers outcome reporting for these households on page 14.*

Row q. *Permanent Housing Placement Services:* Report the number of households receiving permanent housing placement services from this project sponsors in the reporting year. **Note: use of HOPWA funds for activities reported in this row triggers outcome reporting for these households on page 14.*

Housing Information Services may include housing counseling, housing advocacy, information and referral services, fair housing information, and housing search and assistance.

Permanent Housing Placement activities are those associated with establishing a residence such as providing assistance with deposits, credit and background checks.

NOTE: The errata²⁶ indicates that an “adjustment to eliminate duplication” line can be added between Rows q. and r. Grantees can insert this information where possible.

Row r. *Total Housing Placement Assistance:* Add Rows p and q and enter the total here.

- ♦ AMOUNT OF HOPWA FUNDS EXPENDED DURING THE OPERATING YEAR BY THIS PROJECT SPONSOR:

Row p. Report the amount of funds spent on housing information services provided by this project sponsor for the households listed in Column B, Row p.

Row q. Report the amount of funds spent on permanent housing placement services by this project sponsor for the households listed in Column B, Row q.

NOTE: The errata²⁶ indicates that an “adjustment to eliminate duplication” line can be added between Rows q. and r. Grantees can insert this information where possible.

Row r. *Total Housing Placement Assistance:* Add Rows p and q and enter the total here.

The third section of the charts requests data on administrative and management services only.

Figure 33 (see APR page 22)

	Administration and Management Services	Number of <u>Households</u> Receiving HOPWA Assistance from this project sponsor	Total HOPWA Funds Expended during the Operating year by this project sponsor
s.	Resource Identification to establish, coordinate, and develop housing assistance resources		
t.	Project Outcomes/Program Evaluation (if approved)		
u.	Project Sponsor Administration (maximum 7% of total)		
v.	Other Activity (if approved in grant agreement) Specify:		
w.	Total Administration & Management		
x.	Total Expenditures (sum of items a + r + w)		

- ♦ ADMINISTRATIVE AND MANAGEMENT SERVICES: Lists the type of Administrative or Management Activity.

- ♦ NUMBER OF **HOUSEHOLDS** RECEIVING HOPWA ASSISTANCE FROM THIS PROJECT SPONSOR:

Row s–w. NO DATA REQUIRED. Households cannot be direct recipients of administrative activities.

- ♦ AMOUNT OF HOPWA FUNDS EXPENDED DURING THE OPERATING YEAR BY THIS PROJECT SPONSOR:

Row s. *Resource Identification to establish, coordinate and develop housing assistance resources (includes Technical Assistance in Community Residences):* Report the amount of HOPWA funds expended on Resource Identification activities.

Resource Identification activities may include developing housing assistance resources such as brochures and web resources, outreach and relationship building with landlords, and time spent in locating affordable housing vacancies. These are not direct services provided to HOPWA-assisted households.

Row t. *Project Outcomes/Program Evaluation (if approved):* Report the amount of HOPWA funds expended on project outcome or program evaluation activities.

NOTE: This applies **ONLY** to Competitive Grantees that were awarded funds for additional program evaluation activities as approved by the Office of HIV/AIDS Housing.

Row u. *Project Sponsor Administration:* Report the amount of HOPWA funds spent on grant administration activities during the operating year.

Row v. Other Activity (if approved in grant agreement): If another Administrative or Management Activity was approved, name the activity and report the amount of HOPWA funds expended.

Row w. Total Administration & Management: Add Rows s–v and enter the total here.

Row x. Total Expenditures: Add Rows a, r, and w and enter the total here.

Part 4: Worksheet on Determining HOPWA Outcomes and Connections with HMIS

This chapter covers Part 4 (pages 23–26) of the APR²⁷, ²⁸:

- ♦ Information on how to categorize and count households as stable or unstable by destination based on case management assessment and the related reasonable expectation of the outcome for the household
 - ♦ Listing of Homeless Management Information Systems (HMIS) universal data elements that may be used by HOPWA projects to help coordinate assistance
-

Determining HOPWA Outcomes

Part 4 of the APR provides more detailed definitions of each of the housing stability codes used in the HOPWA Performance Outcomes, Housing Stability section, on page 12 of the APR. Grantees reported a housing type or destination for each HOPWA household that received assistance with tenant-based rental assistance, facility-based rental assistance, and/or short-term rent, mortgage, or utility assistance, when they exited the HOPWA program or at the end of the operating year if it's expected that they'll continue into the next operating year. With that information, grantees can now determine the percentage of assisted households that are stable or unstable by using the housing stability worksheet.²⁸

Remember for STRMU-assisted households that the current situation must be carefully assessed through case management to determine and track household stability in the most realistic manner. All households should be assessed each time STRMU assistance is requested and as needed at the end of the operating year. Households that exit the HOPWA program or transition to any other kind of assistance should be reported in the most appropriate category upon their exit. Household that are reasonably expected to need continued support, whether they have received all or only some portion of the allowable 21 weeks of assistance should be reported in category 2, "Temporary Housing." Households that are reasonably expected to have achieved stability after having received all or only some portion of the allowable 21 weeks of assistance should be reported in category 3, "Private Housing." The expectation is that these households will be able to maintain independence and will not require additional STRMU assistance. STRMU assistance is provided as a homelessness prevention tool

NOTE: A revised worksheet has been provided in Appendix A.²⁸ This worksheet does not need to be completed and submitted with the APR. HUD will use data provided elsewhere in the form to review these outcome results. The form is intended for grantee's internal use in determining if they are meeting their stated outcomes in assisting households to achieve housing stability.

Using the data on page 12 of the APR, grantees can plug those numbers into the revised worksheet and determine percentages. Note that death is considered a life event and is not included in the calculation to determine stability

Figure 34 (see APR page 23)²⁸

Type of Housing Assistance	[1] Number in stable housing	[2] Number in unstable situations	[3] Percent Stable/total [#1/(#1+ #2)]
Tenant-based Rental Assistance	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Facility-based Housing Assistance	(# remaining in program plus 3+4+5+6=#)	(1+2+7+8=#)	
Short-term Rent, Mortgage, and Utility Assistance	(3+4+5+6=#)	(1+2+7+8=#)	
Total HOPWA Housing Assistance			

Connections with HMIS

The Homeless Management Information System (HMIS) is an electronic data collection tool that facilitates the collection of information on homeless individuals and families using residential or other homeless assistance services. Congress directed HUD to implement HMIS for use by Continuum of Care programs, service providers, and local and state governments that target or serve homeless individuals and families. The data will provide greater understanding of the characteristics and needs of homeless persons and their service needs.

Because many HOPWA grantees service homeless persons and families, and in attempt to make it easier for HOPWA grantees and project sponsors to collect and report data, the HOPWA program integrated many of the categories from the Universal Data Elements used in HMIS when revising the APR forms. Integration with HMIS outcomes were also considered when developing the HOPWA Housing Stability and Access to Care and Support outcomes.

HOPWA-funded programs that target homeless persons are required to participate in HMIS. HOPWA projects that assist persons who are homeless but do not target this sub-population are not required to participate in HMIS. However, such projects are encouraged to consider the benefits of an HMIS in coordinating assistance for clients and in reporting to funders. HOPWA grantees may find participation in HMIS is useful for a number of reasons including: reducing the amount of data entry by connecting systems; better understanding of characteristics of the population served; creating easier access for clients by decreasing the number of times information must be provided; preventing the duplication of services and; easier access to data for reporting purposes.

Pages 24–26 of the APR provide a listing of the HMIS data elements that have been incorporated into the APR or are recommended for use in HOPWA programs. For additional information on HMIS, go to HUD’s website: <http://www.hud.gov/offices/cpd/homeless/hmis/index.cfm>

Appendix A. HOPWA Technical Notes and Other Errata on Performance Reports

Please use this guidance in conducting data collection and evaluation of HOPWA programs under the new HOPWA reporting forms, issued earlier this year. These provide comments on instructions and interpretations of reporting elements.

Questions on these matters may be directed to the Office of HIV/AIDS Housing at HOPWA@hud.gov

HOPWA Annual Progress Report Measuring Performance Outcomes (form HUD-40110-C, Revised 1/2006); technical notes updated 5/4/06

1. APR Page 3: Definitions of *At Entry or Continuing* and *At Exit or Continuing*. While the two terms sound similar, the intent was to denote a housing status or assessment of clients *At Entry or Continuing from prior year*: and then to compare their housing status or assessment at the end of the grantee's operating year (or when the client left program support during that year). Grantees should read definition for *At Exit or Continuing* as meaning the household is expected to continue to receive the HOPWA support in the grantee's next operating year. Also see #11.
2. APR Page 7: Correct a term in item b. Special Needs to use the term *Individuals Served with Housing Assistance* for consistency with the instruction. This is also done for item c. Prior Living Situation in the column heading.
3. APR Page 9: Clarify that leveraging can include resident rent payments from TBRA programs as well as housing facility projects, see Row 5: "Resident rent payments in facilities and/or Rental Units."
4. APR Page 10: In Rows 4 and 10, blackout and do not use the final cells in the Adjustment to eliminate duplication, for "Amount of Leveraged Funds Expended" of this table.
5. Edit column headings above Row 9a for consistency; edit the final cell to read, "Amount of Leveraged funds Expended."
6. If the same unit is assisted with HOPWA and non-HOPWA funds, enter the unit under both HOPWA and non-HOPWA columns.
7. APR Page 11: For Rows 12–21, the column headings continue from the prior page and can be added.
8. Between Rows 13 and 14, a row could allow for an Adjustment to eliminate duplication.
9. APR Page 12: Refer to Housing Stability Worksheet. See attached guidance.
10. APR Page 13: Access to Care and Support should be assessed for all households who benefit from HOPWA housing support, as noted in the title of the instruction, not limited to the type

of service received. In addition, if a client is only benefiting from a type of supportive service, i.e. their housing is addressed from some other sources, these also would be assessed in this section, but under the chart in item c. The revised instructions are to read:

a. Support in conjunction with HOPWA-funded Housing Assistance. Please report on the access to care and support for all households receiving HOPWA housing assistance. Report on the household status at program entry (or beginning of operating year for households continuing from previous year) and program exit (or end of operating year for households continuing services in the following operating year), if eligible individual living with HIV/AIDS accessed services.

11. Edit column headings to clarify the term continuing in the two contexts: At Entry or Continuing *from prior year*; At Exit or Continuing *to next year*. Also see #1.
12. The effectiveness of data collected in item b. Income table will be reviewed and may be deleted in future editions of this report.
13. APR Page 14: For the chart in item c, the column headings would apply to persons receiving HOPWA supportive services (not housing as noted in the instructions) and should read Number of Households receiving HOPWA-funded Supportive Services
14. Edit column headings to clarify the term continuing in the two contexts: At Entry or Continuing *from prior year*; At Exit or Continuing *to next year*. Also see #1.
15. APR Page 16: In the row below Row a, the heading is corrected in referring to the total *number of Households*
16. Between Rows q and r, a row could allow for an Adjustment to eliminate duplication
17. In Row s, blackout the first cell, as no household data is needed for Resource Identification activities (just funds expended in this chart).
18. APR Page 17: In item 1. TBRA, re-title Row e as Row d.
19. In item 2. Short-term Rent, Mortgage, and Utility Assistance, for Row b, report on the number of households assisted (from line a), that received mortgage assistance as a homeowner assisted with mortgage costs along with any utility assistance.
20. APR Page 18: In the second chart, item 1b. Capital Development of Projects Only, one item was determined to not be needed data and no information needs to be collected under the column International Building Code Compliant – this idea was dropped from the standard CPD reporting framework.
21. The last column heading refers to HOPWA: Number years of affordability *for HOPWA-funded units*. For example, new construction of a 5-unit residence, would mean 50 years of affordability, as there is a 10-year required use period on this type of activity.
22. APR Page 19: Note in reporting data, a community residence cannot be a single family home occupied by one household. The program definition requires that these...*shall be a multi-unit*

residence designed for eligible person...[to provide a]...lower cost residential alternative to institutional care and to prevent or delay the need for institutional care [or] to provide a permanent or transitional residential setting with appropriate services that enhances the quality of life for individuals who are unable to live independently.

23. Clarify leasing references in Row d to include Units leased by project sponsor; *Master-leased* or Project-based rental assistance units
24. APR Page 20: Edit Row c: Master-leased or Project-based rental assistance or Rental subsidy for a unit owned (or leased) by another agency.
25. APR Page 22: In Row a, note that total *number of Households* receiving services may differ from numbers reported by type of service as the nature of the assistance differs by household any many household may receive more than one type of support.
26. Between Rows q and r, a row could allow for an *Adjustment to eliminate duplication*
27. APR Page 23: Note the Worksheet has been replaced. See attached guidance. *Worksheet on Determining HOPWA Outcomes – Assessing Stable and Temporary Housing Results, updated 5/4/06.*

Worksheet on Determining HOPWA Outcomes Assessing Stable and Temporary Housing Results (updated 5/4/06)

HUD will be reviewing data in achieving this national result under the HOPWA performance indicator: The percentage of HOPWA clients who maintain housing stability, avoid homelessness and access care increases through the use of annual resources with the goal that this reaches 80 percent by 2008.

Grantees should compare their annual results against their own program goals and this national program performance indicator. This can be done by reviewing the percent of their HOPWA households who are shown to be residing in stable housing or in temporary arrangements that reduce their risks of homelessness.

Background on HOPWA Housing Stability Codes

Unstable Emergency or Homeless Status

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

Short-term and Temporary Housing Arrangements

2 = Temporary housing - moved in with family/friends or other temporary, short-term arrangements, such as continued STRMU assistance, Ryan White subsidy, transitional housing for homeless, and temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center)*

**NOTE: STRMU is considered a temporary arrangement that reduces the risks of homelessness for a tenant or resident owner, and should be reported as category #2, if there is a reasonable expectation that additional STRMU support is needed or likely to continue into the next program year and assist the household in avoiding homelessness.*

Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy other than STRMU, including permanent placement with families or other self sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing assistance (not STRMU), e.g. TBRA or Facility-based Assistance.

NOTE: For some households, STRMU may address the temporary housing need for a tenant or resident owner, and should be reported as category #3, if there is an assessment and reasonable expectation that additional STRMU support will NOT be needed or is unlikely to continue into the next program year and the household will likely maintain its private housing arrangement

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility, hospital).

Life Events

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

OUTCOME ASSESSED: The HOPWA assisted households were enabled to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and to reduce their risks of homelessness, and improve access to HIV treatment and other health care increases through the use of annual resources with the goal that this reaches 80 percent by 2008.

OUTCOME INDICATOR is the total as follows as assessed at the end of each grantee program year (or when the household exited or had the last contact with the program during that year):

A. Assessments for STRMU assistance:

Stable Housing is the sum of the number of households reported under categories 3, 4, 5, and 6 who accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional STRMU support is **not** needed in order to maintain private housing arrangements (as STRMU is a time-limited form of housing support).

Temporary Housing reported under category 2 should be used to reflect on-going short-term or temporary efforts that help prevent or reduce risks of homelessness. Include households who received STRMU assistance for some portion of the permitted 21-week period and who will most likely continue to receive this assistance in the next program year, based on a reasonable understanding or assessment of their housing arrangements.

Unstable Situations is the sum of the number of households reported under categories 1, 7, and 8 that accessed assistance for some portion of the permitted 21-week period during that program year and the household is not maintaining a stable or temporary housing arrangement that is likely to continue to need STRMU assistance into the next year.

B. Assessments for TBRA:

Stable Housing is the sum of the number of households who (i) remain in the housing and (ii) those who left the assistance as reported in categories 3, 4, 5, and 6. **Temporary housing** is those households reported under category 2. **Unstable Situations** is the sum of number of households reported under categories 1, 7 and 8.

C. Assessments for Facility-based housing assistance:

Stable Housing is the sum of the number of households who (i) remain in the housing and (ii) those who exited the program, as reported under categories 3, 4, 5, and 6. **Temporary housing** is those households reported under category 2. **Unstable Situations** is the sum of the number of households reported under categories 1, 7, and 8.

Worksheet on Percentage of Households (HHs) in Stable & Temporary Housing

Type of Housing Assistance	[A] Number of HHs in stable housing	[B] Number of HHs in temporary housing with reduced risk of homelessness	[C] Number of HHs in unstable situations	[D] Percent Stable/total [A/(A+ B+C)]	[E] Percent Temporary housing/total [B/(A+ B+C)]
i. Tenant-based Rental Assistance	(# remaining in program plus 3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
ii. Facility-based Housing Assistance	(# remaining in program plus 3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
iii. Short-term Rent, Mortgage, and Utility Assistance*	(3+4+5+6=#)	(2=#)	(1+7+8=#)	%	%
iv. Total HOPWA Housing Assistance				%	%
v. RESULT: Sum of stable and temporary housing by percentage	N/a	N/a	N/a	SUM of Result by % %	

*STRMU recipients who are not likely to need additional STRMU support are reported as stable, such as category 3 private housing. If additional STRMU assistance is likely to continue, report as category 2 temporary housing. Compare the sum of Column D and Column E with the grantee's goal or goal by type of activity and the national goal of at least 80 percent

Appendix B. The HUD Logic Model

Based on the specific reporting requirements of the HOPWA program, NOFA grantees must complete an updated Logic Model with their APR. The annual update will illustrate how the use of HOPWA resources resulted in specific outputs, related client outcomes, and achievement of projected benchmarks, consistent with the 3-year plan in your application.

As the applicant for the funds, competitive grantees initially submit a Logic Model with their grant application and complete all but Columns 5 and 7. These two columns are completed as part of grantees' annual performance reporting and provide a comparison of expected versus actual outputs and outcomes. Part I of the APR asked for a narrative description of the outputs and outcomes for the operating year. Referring back to this section will give you a clearer understanding of the information you will provide in the updated Logic Model. In the narrative, you identified what the outputs and outcomes were for the reporting period; this information can now be entered into Logic Model Column 5, "Output Result," in the form of data, i.e., the number of housing units or number of households assisted. In Column 7, "End Results," provide the outcome data. If your application did not include the required HOPWA outcome goals you must add these to your Logic Model.

As part of the Evaluation Process described in Column 9 of the Logic Model, grantees should evaluate the data to determine how it compares with the projected outputs and outcomes. If changes were made to your evaluation plan, make updates to Column 9. If grantees find that they have not been able to meet their projected outputs and outcomes this is significant, and they should determine what factors caused this disparity, i.e., business practices, data gathering methods, timelines, data gathering tools, etc. The reasons for the disparities in planned versus actual outputs and outcomes should be described in the Barriers and Recommendations section of Part 1. The grantee should discuss what changes will be made in order to meet their goals in the next reporting period and should consider how this effort demonstrates effective and efficient management of their program. Grantees are encouraged to meet or adjust their goals in the next period and request technical assistance as needed.

Since 2003, HUD used the Logic Model as a planning tool, which was submitted as part of the NOFA application. In FY 2005, HUD required performance reporting against the approved logic model incorporated into the grant agreement. In FY 2006, HUD is moving to a standardized "Master" Logic Model from which applicants will select needs, activities/outputs, and outcomes appropriate to their programs from a list provided. In addition, there will be Program Management Evaluation Questions and a Return on Investment (ROI) Statement that grantees will be required to report on as specified in the program NOFA. Information and training materials will be provided as needed to support these changes and can be found on HUD's website at:

<http://www.hud.gov/offices/adm/grants/nofa05/logicmodelfiles.cfm>

Program Name: Example HOPWA Program					Component Name: Tenant-Based Rental Assistance				
Strategic Goals	Policy Priorities	Problem, Need, Situation	Service or Activity	Benchmarks		Outcomes		Measurement Reporting Tools	Evaluation Process
				Output Goal	Output Result	Achievement Outcome Goals	End Results		
1		2	3	4	5	6	7	8	9
Policy		Planning		Intervention		Impact		Accountability	
Choose the HUD Strategic Goal that applies to your program and services. 2, 4	Choose the HUD Policy Priority that applies to your program and services. 1, 6	General statement of need that provides the rationale for the proposed service or activity. Describe who, what, where, and magnitude. # of people at 80% AMI with HIV/AIDS paying more than 30% of their monthly income toward rent and therefore are at risk of losing their housing; # of people with HIV/AIDS who are homeless; evidenced through local Consolidated Planning process.	A mode of intervention to address stated problem/need. Provide housing case management; tenant-based rental assistance; short-term rent, mortgage, and utility assistance to HOPWA-eligible households.	Outputs are the <u>quantitative</u> (#s) measures of participation. The meaning of short, medium, and long term mean can be defined by the grantee.	This column is left blank at first submission. Completed with annual updates.	A quantitative (#s) estimate of your program's impact, strongly connected to need statement.	Outputs are left blank at first submission. Completed with annual updates.	a. Tracking tools: May be case files; leases; client survey; HMIS. b. Type of data storage: May be individual agency database; centralized database; hard case files. c. Location of data storage: May be on-site server; on-site files; off-site secure server. d. Frequency of data collection and reporting; by whom: May be project sponsors report quarterly, grantee annually to HUD. e. Retrieval methods: May be manually; database reports.	Identify the method used to evaluate your success in achieving goals and outcomes. If not meeting these, evaluation should be used as tool to adjust. Annually grantee will meet with project
				<u>Short Term</u> Yr. 1 Provide Intake, assmt. & develop hsg plans for 30 households; TBRA to 20 households; and STRMU to 10 households.	<u>Short Term</u> 16 households assisted with TBRA; 12 with STRMU.	30 HOPWA assisted households will obtain permanent supportive housing and/or have been enabled to prevent homelessness.	26 households assisted: 11 obtained permanent housing evidenced through lease; 15 were enabled to prevent homelessness		
				<u>Intermediate Term</u> Yr. 2 Provide case management & hsg. planning; TBRA to 35 households; STRMU to 15 households.	<u>Intermediate Term</u> Completed at end of intermediate term.	50 households will obtain permanent supportive housing or have been enabled to prevent homelessness.	Completed at end of intermediate term		
				<u>Long Term</u> Yr. 3 Case management & hsg. planning; TBRA to 35 households; STRMU to 15 households.	<u>Long Term</u> Completed at end of long term.	Same as Intermediate Term.	Completed at end of intermediate term	a – e: Typically the same unless the outputs and outcomes in the long term require different tools.	goals and objectives are in line with program and need.

Logic Model Instructions

PROGRAM NAME: The HUD funding program under which you are applying. If you are applying for a component of a program please include the Program Name as well as the Component Name.

COMPONENT NAME: The HUD funding program under which you are applying. **Note:** Bolded items are the goals and priorities specific to the HOPWA program, although you may have additional.

*Column 1: **HUD’S STRATEGIC GOALS:*** Indicate in this column **the number** of the goal(s) that your proposed service or activity is designed to achieve. HUD’s strategic goals are:

1. Increase homeownership opportunities
2. **Promote decent affordable housing (main HOPWA program goal)**
3. Strengthen communities
4. **Ensure equal opportunity in housing (secondary HOPWA program goal)**
5. Embrace high standards of ethics, management, and accountability
6. Promote participation of grass-roots faith-based and other community-based organizations

POLICY PRIORITY: Indicate in this column **the number** of the HUD Policy Priority, if any, your proposed service or activity promotes. Applicants are encouraged to undertake specific activities that will assist the Department in implementing its Policy Priorities. HUD’s Policy Priorities are:

1. **Provide Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency (main HOPWA reporting element)**
2. Improving the Quality of Life in our Nation’s Communities
3. Encouraging Accessible Design Features
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organization in HUD Program Implementation
5. Participation of Minority-Serving Institutions in HUD Programs
6. **Ending Chronic Homelessness within Ten Years (if your program targets this population)**
7. Removal of Barriers to Affordable Housing

*Column 2: **PROBLEM, NEED, OR SITUATION:*** Provide a general statement of need that gives the rationale for the proposed service or activity.

*Column 3: **SERVICE OR ACTIVITY:*** Identify the activities or services that you are undertaking in your work plan, which are crucial to the success of your program. Not every activity or service yields a direct outcome.

*Column 4 and Column 5: **BENCHMARKS:*** These columns ask you to identify benchmarks that will be used measuring the progress of your services or activities. *Column 4* asks for specific interim or final

products (called outputs) that you establish for your program's services or activities. *Column 5* should identify the results associated with the product or output. These may be numerical measures characterizing the results of a program activity, service or intervention and are used to measure performance. These outputs should lead to targets for achievement of outcomes. Results should be represented by both the actual number (#) and percentage (%) of the goal achieved.

Column 4: BENCHMARKS/OUTPUT GOAL: Set quantifiable output goals, including timeframes. These should be products or interim products, which will allow you and HUD to monitor and assess your progress in achieving your program work plan.

Column 5: BENCHMARK/ OUTPUT RESULT: Report actual result of your benchmarks. The actual result could be number of housing units developed or rehabilitated, jobs created, or number of persons assisted. Outputs may be short, intermediate or long-term. **(This section is not completed with the grant application.)**

Column 6 and Column 7: OUTCOMES: *Column 6 and Column 7* ask you to report on your expected and actual outcomes — the ultimate impact you hope to achieve. *Column 6* asks you to identify outcomes in terms of the impact on the community, people's lives, changes in economic or social status, etc. *Column 7* asks for the actual result of the outcome measure listed in *Column 6*, which should be updated as applicable.

Column 6: OUTCOMES/GOALS: Identify the outcomes that resulted in broader impacts for individuals, families/households, and/or the community. For example, the program may seek to improve the environmental conditions in a neighborhood, increase affordable housing, increase the assets of a low-income family, or improve self-sufficiency.

Proxy Outcome(s): Often direct measurement of the intended outcome is difficult or even impossible — to measure. In these cases, applicants/grantees should use a proxy or surrogate measure that corresponds with the desired outcome. For example, improving quality of life in a neighborhood could be measured by a proxy indicator such as increases in home prices or decreases in crime. Training programs could be measured by the participant's increased wages or reading skills. The person receiving the service must meet eligibility requirements of the program.

Column 7: OUTCOMES/ACTUAL RESULT: Identify specific achievements of outcomes listed in *Column 6*. **(This section is not completed with the grant application.)**

Column 8: MEASUREMENT REPORTING TOOLS:

- a. List the tools used to track output or outcome information (e.g., survey instrument; attendance log; case report; pre-post test; waiting list; etc);
- b. Identify the place where data is maintained, e.g. central database; individual case records; specialized access database, tax assessor database; local precinct; other;
- c. Identify the location, e.g. on-site; subcontractor; other;
- d. Indicate how often data is required to be collected, who will collect it, and how often data is reported to HUD; and
- e. Describe methods for retrieving data; e.g. data from case records is retrieved manually, data is maintained in an automated database.

These tools will be available for HUD review and monitoring and should be used in submitting reporting information.

*Column 9: **EVALUATION PROCESS:*** Identify the methodology you will periodically use to assess your success in meeting your benchmark output goals and output results, outcomes associated to the achievement of the purposes of the program, as well as the impact that the work has made on the individuals assisted, the community, and the strategic goals of the Department. If you are not meeting the goals and results projected for your performance period, the evaluation process should be used as a tool to ensure that you can adjust schedules, timing, or business practices to ensure that goals are met within your performance period.

Appendix C. Glossary

Adjustment for Duplication: Refers to the number of households or beneficiaries that received more than one type of assistance in a given service category. The adjustment for duplication should provide an unduplicated total.

Administrative Costs: Refers to costs for general management, oversight, coordination, evaluation, and reporting. By statute, grantee administrative costs are limited to three percent of total grant award, to be expended over the life of the grant. Project sponsor administrative costs are limited to seven percent of the total grant award they receive, to be expended over the life of the grant. ***Note:** costs for staff to deliver services are part of the cost of that service, not an administrative cost.*

Anonymous Data: Information where you do not know who provided the responses. See also Confidential Data below.

At Entry or Continuing:¹ Indicates the household status at initial entry into the program when eligibility and housing needs are assessed or, the household status at the beginning of the operating year for those households continuing from the prior year.

At Exit or Continuing:¹ Indicates the household status at the time of departure from the HOPWA program or, the household status at the end of the operating year for those households continuing into the next year.

Baseline: Data gathered to provide a comparison for assessing program changes or impact.

Benchmark: Data used as a comparison or a standard of achievement for a specific indicator or outcome.

Beneficiary: A beneficiary is any individual who received HOPWA housing assistance during the operating year, and includes all members of the household receiving assistance.

Chronically homeless person: A “chronically homeless person” is “an unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more **OR** has had at least four episodes of homelessness in the past three years.” For this purpose, the term “homeless” means “a person sleeping in a place not meant for human habitation (e.g., living on the streets) or in an emergency homeless shelter.” This does not include doubled-up or overcrowding situations.

Community Residence:²² A community residence shall be a multi-unit residence designed for eligible persons...[to provide a]...lower cost residential alternative to institutional care and to prevent or delay the need for institutional care [or] to provide a permanent or transitional residential setting with appropriate services that enhances the quality of life for individuals who are unable to live independently.

Compliance Monitoring: Tracking and reporting information on what and how much service a program delivers, the clients it serves, how much money it expends, and, possibly, the outcomes it achieved, in relation to what an organization has agreed upon, generally referring to contractual arrangements made between an organization and its funder on the use of funds.

Confidential Data: Information where you do know—or can find out—who provided the responses, but you keep the information to yourself.

Data: Information collected in a systematic way that is used to draw conclusions about a program or its outcomes.

Disabling condition: A “disabling condition” is “a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions.” In addition, a disabling condition may limit an individual’s ability to work or perform one or more activities of daily living. An HIV/AIDS diagnosis is considered a disabling condition.

Entered the program: When the participant’s eligibility and housing needs are assessed.

Evaluation: The systematic application of social research procedures for assessing the conceptualization, design, implementation, and utility of health or social interventions.

Extension: In addition to the standard three-year grant term, an **Extension APR** applies to grantees that requested and received the one-year extension of their grant term from the HUD field office.

Facility Based Rental Assistance: Expenditures to support facilities including community residences, SRO dwellings, short-term or transitional facilities, project-based units, master leased units, and other housing facilities approved by HUD, and supportive-services-only facilities. Facility-based housing is attached to the unit, not the participant. Assistance can only be provided to an eligible participant while they reside in the assisted unit.

Facility-Based Non-Housing: Meeting or office space where clients access case management or other services but no housing units are located on site.

Goal: Broad statement of the ultimate aims of a program, generally beyond the ability of one organization to achieve on its own.

Grassroots organization: A “grassroots organization” means an organization that is headquartered in the local community to which it provides services; and, (1) has a social services budget of \$300,000 or less, or (2) has six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered “grassroots.”

HOPWA-eligible Person: The person with HIV/AIDS who qualifies the household for HOPWA assistance. This person may be considered “Head of Household.” When the APR asks for information on eligible individuals please report on this person only. Where there is more than one person with HIV/AIDS in the household, the additional PWA(s), would be considered a beneficiary(s).

Household: A “household” means a single individual or a family composed of two or more persons, for which household incomes are used to determine eligibility and for calculation of the resident rent payment. Caregivers and non-beneficiaries who resided in the shared unit are not reported on in the APR. The term is used for collecting data on changes in income, changes in access to services, receipt of housing information services, and outcomes on achieving housing stability.

Housing Stability: See Part 4: Appendix (page 23) of the APR and the updated Housing Stability Worksheets [28](#) for definitions of stable and unstable housing situations.

Indicator: The specific, measurable information that will be collected to track success of an outcome. Another commonly used phrase is “performance measure.”

Instrument: A tool used to collect data, including survey questionnaires, interview guides, observational checklists, and written record extraction forms.

Multiple Diagnosed Issues: A disease or condition, such as serious mental illness or substance abuse, co-existing with risk of homelessness for persons living with HIV/AIDS.

Non-Facility-based Housing Assistance: HOPWA housing expenditures to support tenant-based rental assistance or Short-term Rent, Mortgage, and Utility Assistance (STRMU).

Non-HOPWA-leveraged sources: Non-HOPWA-leveraged resources refers to cash resources separate from the HOPWA grant award, and may include: CDBG, HOME, ESG, SHP, S+C, SRO Mod Rehab, Housing Choice Vouchers (Section 8), PHA units, Supportive Housing for Persons with Disabilities/Elderly (Section 811/202), Low Income Housing Tax Credits (LIHTC), Historic Tax Credits, USDA Rural Housing Service, Ryan White CARE Act programs, other federal programs at HHS, VA, DOL, etc, state funds, local government funds, and private philanthropy. While other HOPWA funds may be used in conjunction with this grant, the amounts are not counted as leveraging for purposes of the grant application selection or criteria, and performance is reported under the applicable HOPWA grant.

Non-substantial Rehabilitation: Rehabilitation that involves costs that are less than or equal to 75 percent of the value of the building after rehabilitation.

Objective: A specific, measurable accomplishment within a specified timeframe.

Operating Costs: Applies to facility-based housing only, for facilities that are currently open. Operating costs can include day-to-day housing function and operation costs like utilities, maintenance, equipment, insurance, security, furnishings, supplies and salary for staff costs directly related to the housing project but not staff costs for delivering services.

Outcome: The changes in the lives of individuals, families, organizations, or the community as a result of this program; benefit for participants during or after their involvement in a program; the impact of the program on the people it serves.

Outcome Assessed [in HOPWA APR and CAPER]: The HOPWA-assisted households that have been enabled to establish or better maintain a stable living environment in housing that is safe, decent, and sanitary, (per the regulations at 24 CFR 574.310(b)) and to reduce the risks of homelessness, and improve access to HIV treatment and other health care and support with the goal

that this result increases through use of annual resources to be achieved by 80 percent of all HOPWA beneficiaries by 2008. ***Note:** this is included in the Logic Model Column 6, and can be described in greater detail in the narrative portion of part 1 of the APR.*

Outcome Evaluation: Systematic examination of the impact of the program and what resulted for the participants, clients, consumers, or customers. Another commonly used phrase is “summative evaluation.”

Output: The product delivered or the unit of service provided by the program, usually described numerically, such as number of housing units developed, number of people served, or number of hours of service delivered. This is how HOPWA programs measure the 3 types of housing reported on page 10 of the APR.

Output Assessed [in HOPWA APR and CAPER]: Output refers to the number of units of housing/households assisted during the year, as measured by the annual use of HOPWA funds.

Outcome Measurement: A systematic way to assess the extent to which a program has achieved its intended results; generally used in the not-for-profit world.

Operating Year: The operating year is the 12-month period in which grantees carry out HOPWA projects and the related activities established in their HUD-approved Consolidated Plan/Action Plan(s). The information contained in this APR should reflect one operating year of the grantee’s report. Project sponsor accomplishment information must reflect the same time period as the grantee’s operating year and APR dates. New grantees have some flexibility in setting the dates of operating years. A grantee of a competitively-awarded grant may set the operating start date for its program on a date up to four months following the date of the signing of the grant agreement. Any change requires the approval of HUD by amendment, such as an extension for one additional year of operation. A renewal grant start date would be coordinated with the close out of the existing grant.

Permanent Supportive Housing: Housing in which the eligible person has a continuous legal right to remain in the unit and which provides the eligible person ongoing supportive services through qualified providers.

Permanent Housing Placement: A supportive housing service that involves costs associated with helping eligible persons establish a new residence where ongoing occupancy is expected to continue, including rental application fees, related credit checks and reasonable security deposits necessary to move persons to permanent house, provided such deposits do not exceed two months of rent. Costs do NOT include other forms of move-in support, such as essential housing supplies, smoke alarms, standard furnishings, minor repairs to the unit, and other incidental costs.

Project Sponsor: Any qualified nonprofit organization or governmental housing agency that receives funds under a contract with the grantee to carry out eligible HOPWA activities.

Program Logic Model: A representation of the linkages between the inputs or resources available to a program, the activities or services carried out, the outputs of the program, and outcomes anticipated for the people participating in the program.

Qualitative Data: Descriptive or subjective information provided in narrative terms.

Quantitative Data: Numerical information gathered in a structured way.

Rehabilitation: The improvement or repair of an existing structure, or an addition to an existing structure that does not increase the floor area by more than 100 percent.

Related Support from a Non-HOPWA Source: Non-HOPWA cash resources used as leveraging for HOPWA eligible activities. See also Non-HOPWA-leveraged sources.

Short-term Rent, Mortgage, and Utility Assistance (STRMU): A housing subsidy provided to mortgagers or renters in their current place of resident for assistance with rent, mortgage or utilities for a period of up to 21 weeks.

Stewardship Unit: Facility-based housing units developed with HOPWA funds, but have no current operations or other HOPWA funds used in operating, and are subject to 3- or 10-year use periods.

Substantial Rehabilitation: Rehabilitation that involves costs in excess of 75 percent of the value of the building after rehabilitation.

Tenant-Based Rental Assistance (TBRA): A housing subsidy provided to the eligible participant for use on the open rental market where the tenant holds a lease with a private landlord. The participant may use the subsidy in any FMR- and HQS-eligible unit.

Unduplicated Count: A household, individual, or unit is counted only once.

Validity: The accuracy of information collected.

Appendix D. Frequently Asked Questions

How were the three outcomes for HOPWA-funded programs selected?

During the 2003 HOPWA Grantees Meeting in Washington, D.C., a facilitated discussion with grantees and project sponsors identified which outcomes made the most sense and how best to measure them. With this information, the Office of HIV/AIDS Housing began a negotiation process with HUD and OMB, which resulted in the selection of the three outcomes identified for HOPWA-funded programs.

What are the “supportive services” referenced in the second outcome?

Supportive services can include:

- ♦ Adult day care and personal assistance
- ♦ Alcohol and drug abuse services
- ♦ Case management/client advocacy/access to benefits and services
- ♦ Childcare and other child services
- ♦ Education
- ♦ Employment assistance and training
- ♦ Health/medical/intensive care services
- ♦ Legal services
- ♦ Life skills management
- ♦ Meals/nutritional services
- ♦ Mental health services
- ♦ Outreach
- ♦ Transportation

Why isn’t data collected on the third outcome, “reducing risk of homelessness”?

The first two outcomes contribute to achievement of the third one. Unstable housing and limited access to needed services put people at risk of homelessness. Thus, if individuals have more stable housing, and if they have better access to health care and other supportive services, the likelihood of their becoming homeless will be less. Also, while there are a number of ways to measure the reduced risk of homelessness, none are necessarily more appropriate for AIDS housing programs than measuring housing stability and access to services.

Where did the categories for Prior Living Situation come from?

In attempt to make it easier for grantees and project sponsors to collect and report data, HOPWA adopted the categories from the Universal Data Elements used in the Homeless Management Information System (HMIS).

Is the Housing Stability worksheet²⁸ optional?

HOPWA does not need grantees to provide the summary information found in the worksheet since it can use the data from the other charts in grantees' reports to generate a summary report on housing stability for HUD and Congress. The worksheet is intended to assist grantees with determining their progress in meeting outcome goals.

How were the Stable Housing vs. Unstable Situation categories used in the optional worksheet determined?

Following discussion with HUD and other stakeholders, HOPWA made the determination regarding which housing categories would be considered Stable and Unstable.

What is the reasoning behind the measures for the Access to Care and Supportive Services?

Grantees and project sponsors involved in the 2003 HOPWA meeting identified contact with case managers and primary health care providers, among many other measures, as the most reasonable indications of Access to Care and Supportive Services for people with HIV/AIDS. They are considered "proxies" that stand in place of a more direct measure of increased access to service. Tracking a beneficiary's need for and exact use of services prior to and during involvement with a program requires considerable recording keeping. While this may be necessary for a program sponsor in order to access service funding for their clients, summarizing the data across all beneficiaries and reporting it for HOPWA was considered too difficult and burdensome.

Why are questions included about beneficiaries receiving jobs?

With the changing nature of HIV/AIDS and the possibility that beneficiaries will be in need of and seeking employment, some project sponsors have added this service to their programs. It is one means to learn whether project sponsors are helping beneficiaries gain access to services they need.

Why is reporting on Access to Care and Support requested for only some of the supportive services?

Per the errata of 5/4/06 outcomes on Access to Care and Support should be reported for households that receive any supportive service.¹⁰

Why is case management not required for all HOPWA-funded programs?

The HOPWA regulations specify that supportive services must be provided in conjunction with HOPWA-funded housing. Supportive services, including case management activities should be provided as part of an Individualized Service Plan developed for the HOPWA participant that is designed to meet their specific needs. Each participant's needs will differ as will their Individualized Service Plan and need for case management.

When should the annual re-assessment be conducted?

The choice about the timing for the annual re-assessment is up to the grantee and project sponsors. It can be done at the end of the program year for which HOPWA funds are being used. It can be done at the end of the calendar year or the end of the fiscal year. It can be done at the end of each beneficiary's year, on the anniversary date of his/her entry into the program. The summary of all beneficiaries, however, is reported at the end of the program year for which HOPWA funds are being used.

What about beneficiaries who exit the program and then return?

Many project sponsors have adopted the practice of identifying beneficiaries as Active, Inactive, or Exited. The latter category is used when the beneficiary has formally left the program, moved to another state or community, or been Inactive for some specified period of time, say one year. If an individual were to re-enter the program after being considered Inactive, or for that matter after being considered Exited, his/her Active status could be reinstated and the client ID# retained. The project sponsor reports only on beneficiaries who are Active and those who Exited during the program year.

Are we required to do follow-up with beneficiaries who leave our program?

No. It can be very useful in determining the longer-term effects of your program on beneficiaries, but it does require additional time and effort, likely beyond the resources available for APR/CAPER reporting.

What about the confidentiality of beneficiary information?

Protecting the privacy of beneficiaries is essential. Data collection must be conducted with appropriate safeguards to ensure confidentiality of individuals. New regulations have re-enforced the importance of confidentiality, specifically with regard to health information. Respecting the rights and privacy of beneficiaries and protecting them from threat or harm should be paramount in outcome measurement work. To learn more about confidentiality, look for additional resources on AIDS Housing of Washington's web site: <http://www.aidshousing.org>

Are there shorter-term outcomes that could be measured for beneficiaries?

There certainly are many other outcomes that could be measured, including short-term ones. For example, a shorter-term outcome related to housing stability may be “increased housing readiness for beneficiaries” or “increased financial management skills” or “increased ability to pay housing-related expenses.” For further information on creating outcome chains with short, intermediate, and longer-term outcomes, look for additional resources—including the publications, *Tools for Outcome-Based Evaluation of HOPWA-Funded Programs*, *Tools for Outcome-Based Evaluation of HOPWA Formula Grantees*, and *Creating Outcome Chains*—on AIDS Housing of Washington's web site: <http://www.aidshousing.org>